DOCUMENT RESUME

ED 129 262 IR 004 039

TITLE	The Library of Congress as the National Bibliographic Center. Minutes of the Semi-Annual Meeting of the Association of Research Libraries (87th, Washington, D.C., October 15-16, 1975).
INSTITUTION	Association of Research Libraries, Washington, D.C.
REPORT NO	ISSN-0044-9652
PUB DATE	Oct 75
NOTE	149p.; For a related document see ED 118 097
AVAILABLE FROM	Association of Research Libraries, 1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 ($5.00)
EDRS PRICE	MF-$0.83 HC-$7.35 Plus Postage.
DESCRIPTORS	*Cataloging; Conference Reports; Data Bases; *Foundation Programs; Information Services; International Programs; *Library Automation; Library Networks; *National Libraries; *National Programs; Research Libraries
IDENTIFIERS	ARL; Association of Research Libraries; *Library of Congress; *Machine Readable Cataloging; MARC; National Commission Libraries Information Science

ABSTRACT

The Library of Congress was the topic of the October, 1975, meeting of the Association of Research Libraries (ARL). Presentations were given on: (1) the future uses of automation to aid the Library of Congress in its authoritative information and bibliographic data collection and dissemination functions; (2) the progress and projections for the MARC (machine readable cataloging) distribution service and retriever; (3) the national and international automated networks of the Library of Congress; and (4) the process of transition to the Library's automated systems. The director of the research grant division of the National Endowment for the Humanities introduced the library-related programs of her division. The National Commission for Libraries and Information Science made a progress report on the development of a national information service program. Reports of ARL commissions and executives followed in the business meeting. (KB)

****
* Documents acquired by ERIC include many informal unpublished *
* materials not available from other sources. ERIC makes every effort *
* to obtain the best copy available. Nevertheless, items of marginal *
* reproducibility are often encountered and this affects the quality *
* of the microfiche and hardcopy reproductions ERIC makes available *
* via the ERIC Document Reproduction Service (EDRS). EDRS is not *
* responsible for the quality of the original document. Reproductions *
* supplied by EDRS are the best that can be made from the original. *
****

ED129262

THE LIBRARY OF CONGRESS
AS THE
NATIONAL BIBLIOGRAPHIC CENTER

Minutes of the
Eighty-seventh
Meeting

October 15-16, 1975
Washington, D.C.

IR004039

U.S. DEPARTMENT OF HEALTH,
EDUCATION & WELFARE
NATIONAL INSTITUTE OF
EDUCATION

THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY

ASSOCIATION OF RESEARCH LIBRARIES

CONTENTS

Page

Opening.. 1

THE LIBRARY OF CONGRESS AND THE ARL
Warren J. Haas.. 2

AUTOMATION ACTIVITIES AT THE PROCESSING DEPARTMENT
William J. Welsh
Henriette D. Avram.. 7

THE CORE BIBLIOGRAPHIC SYSTEM
Lucia Rather...14

THE NATIONAL BIBLIOGRAPHIC SYSTEM
Henriette D. Avram...35

TRANSITION TO THE AUTOMATED SYSTEM
John C. Rather...49

Discussion...53

NEH AND THE NATION's RESEARCH LIBRARIES
Simone Reagor.. 59

NATIONAL COMMISSION ON LIBRARIES AND INFORMATION SCIENCE
Alphonse Trezza.. 65

BUSINESS MEETING

NCLIS National Program Document..................................72
Election of Board Members..73
Meeting of ARL Commissions.......................................74
Report of the Commission on Access to Resources..................75
Report of the Executive Director.................................75
Report of the President..83

3

APPENDICES Page

A. Report of the Commission on Development of Resources........ 88
B. Report of the Commission on Organization of Resources....... 89
C. Report of the Commission on Access to Resources............. 91
D. Report of the Commission on Management of Resources......... 92
E. Report of the Committee on Federal Relations................ 95
F. Report of the Committee on Foreign Newspapers on Microfilm.. 97
G. Report of the Committee on Interlibrary Loan................104
H. Report of the Committee on Access to Manuscripts & Rare Books..106
I. Report of the Committee on Library Acquisitions on East Asia...107
J. Report of the Committee on Library Acquisitions on Latin America..114
K. Report of the Committee on Library Acquisitions on South Asia..116
L. Office of University Library Management Studies Annual Report..117
M. Attendance at 87th Meeting..................................130
N. Officers, Board of Directors, Commissions, Committees and Task Forces of the ARL...................................134
O. Membership of the ARL.......................................139

ASSOCIATION OF RESEARCH LIBRARIES

Minutes of the 87th Meeting

Richard De Gennaro, presiding

The Eighty-seventh Meeting of the Association of Research Libraries was held at the Statler Hilton Hotel in Washington, D. C. on October 15 and 16, 1975.

President Richard De Gennaro opened the meeting by welcoming and introducing new and alternate representatives attending their first ARL meeting and guests of the Association.

On behalf of the Association he expressed appreciation to the Library of Congress for hosting ARL members and guests who were taken on tours of the Processing Department of the Library of Congress on October 15.

The setting for the program was provided following a reception and dinner on the evening of October 15, when Warren J. Haas spoke on "The Library of Congress and the ARL."

THE LIBRARY OF CONGRESS AND THE ARL

Warren J. Haas

MR. DE GENNARO: The evening before our last membership meeting, which was held in Houston in May, we had an informal program which was called "Getting To Know The ARL." The idea behind that program was that ARL was growing and developing at the same time that its membership was increasing and many new directors were coming in as a result of a surge of retirements and new appointments. We felt it was time to reintroduce the members to ARL and ARL to the members. The success of that program inspired us to plan another introductory type program for this meeting.

For quite some time we have felt the need for an ARL program focusing on the Library of Congress, and particularly on its role as the national bibliographic center. Like ARL, LC has also been developing new roles and changing. Many of our new members need to be introduced to the Library of Congress and its work, and some of our old members need to become reacquainted with it. By a stroke of good fortune, the LC Processing Department staff under William Welsh, was primed and ready to put on a major program for us at the very time that this meeting was scheduled to be held here in Washington. As it turns out, we also have the added and unexpected pleasure of being able to meet and welcome Daniel Boorstin, the new Librarian of Congress, at this meeting featuring the national bibliographic functions of the Library of Congress.

The program is off to an excellent start. Many of you have already toured the Library of Congress this afternoon and we are all looking forward to the LC program tomorrow morning. To help us get into the right frame of mind for that program and to help us to get a better perspective on the relationship of ARL to the Library of Congress-- past, present, and future--the Board prevailed upon Warren Haas, Vice President for Information Services and University Librarian at Columbia and a tireless worker for ARL, to speak to us briefly this evening on the subject of ARL and LC. It is my pleasure to introduce Warren Haas.

* * * *

MR. HAAS: I think I will begin these remarks with what might well be my conclusion. ARL as an organization, and in this I think I can speak for its component parts as well, owes a substantial debt of gratitude to its most prominent member, the Library of Congress. Taken together, the many distinctive and important programs undertaken by LC, independently and in concert with ARL, have helped individual research libraries enormously as they have sought to fulfill their obligations to the country's students and scholars. The results of LC's efforts and expenditures have been amplified hundreds of times over in academic and research libraries across the country.

Tomorrow morning's program, during which William Welsh and his colleagues will describe their plans for the ever-expanding set of programs that have more and more become an integral part of our own operations, promises to be a kind of high-water mark in the LC/ARL relationship that began, somewhat haltingly, about 40 years ago.

Frank McGowan, in a chapter of his 1972 thesis, The Association of Research Libraries, 1932-1962, notes that despite an early ARL/LC collaborative effort, that of creating an interlibrary loan clearinghouse through the LC Union Catalog, participation by LC in ARL was at best low-keyed during the first four or five years of ARL's history, a situation that prompted a note from Louis Hanke (then the LC-designated representative to ARL) to Archibald MacLeish suggesting that the time had arrived for the Library of Congress to play its "proper part" in the Association. The spirit of the preceding years prevailed, however, and there was no response. But a dramatic success was not long in coming.

In 1940, Paul North Rice, following up on discussions within ARL and acting in his capacity as an ARL Committee Chairman, raised with MacLeish a proposal to print the Library of Congress Catalog in book form, a suggestion that was promptly acted upon. The results were and still are clearly remarkable, since that publication, with its supplements and then its successor, the National Union Catalog, constitute a bibliographic endeavor without equal in size and complexity. Today there are 17 titles included in the most recent listing of LC catalogs in book form.

Succeeding years saw less attention given bibliographic measures, and more to resource development. During World War II, ARL and LC worked together to secure State Department approval for the pioneering Cooperative Acquisitions Project for wartime publications, an effort that brought to American research libraries large quantities of materials published abroad during the war. In 1946 ARL discussions prompted LC to establish the Documents Expediting Project, and in 1947, following several years of planning with LC and ARL, the Farmington Plan was launched. When compared with this flurry of postwar activity, the 1950's saw little in the way of additional programs, although there were several ARL/LC efforts to produce planning documents, some of great importance, on the full range of typical topics.

So far as LC/ARL relationships are concerned, it has been the last decade or so that has seen the beginning of several of the most significant projects stemming from our long association: the PL 480 Program got underway in 1962; the NPAC program in 1965; the National Serials Data Program in 1966; and the Foreign Newspaper Microfilm Project in 1970.

Since we are moving forward in time to the point where "junior citizens" like myself are fully aware of the importance and impact of these recent projects, it is not necessary to spend time on descriptions. It is sufficient to say that the programs of the last ten years or so have established an irreversible dependency of ARL libraries on LC. The beginnings of what is essentially a bibliographic bond linking research libraries to each other in fundamental ways has now been forged, and as I see it, the work we must share during the years immediately ahead is to extend that new bond and put it to full use.

At this point, I want specifically to thank William Welsh for his commitment to the principles of a cohesive national bibliographic system. More than anyone, he has by his energy and perception breathed life into the aspirations that initially prompted NPAC, and he and his colleagues who have shared the work should know of our gratitude.

But back to our newly forged bond. Somehow its very existence carries with it substantial obligations for all parties to make it stronger and more purposeful. Perhaps with this goal in mind, it is not inappropriate to spend just a few more minutes tonight considering the future.

While the history of the ARL/LC relationship records substantial accomplishments, it also suggests that at least some of this success was perhaps too long in coming, that progress has at times been sporadic, and that the *ad hoc* approach to problem solving that has, until now, characterized our joint efforts has also produced less of a sense of purposeful direction than seems desirable.

The issues we face today, individually and collectively, are too important and certainly too complex for us to leave their resolution to chance. Even the most cryptic identification of these topics underscores their difficulty. By way of example, there seems to be general agreement that at least the following capacities are required:

1. There should be a national, comprehensive bibliographic data system, the components of which must assume responsibility for (a) the full range of administrative activities, (b) the on-going creation of bibliographic records, and (c) the design and operation of the systems required to distribute and use the records. The need to resolve many secondary but critical issues (e.g. standardization and international coordination) is implicit.

2. Because of the magnitude of the task, the subject of conversion of existing records to machine-readable form needs to be separately addressed, but there seems little doubt that a strategy for conversion and a program of action to accomplish the work is required.

3. Linked to improved bibliographic control is a requirement for improved access to resources. One without the other is meaningless. Further, the prospect of easily available and far more sophisticated approaches to identifying and locating information will in all probability have a dramatic effect on the level of demand for information.

4. Finally, the future nature of our collections - their content, their format, their preservation, and their distribution - raises many issues that must be resolved. The nature of that resolution will have substantial impact on the character of every library represented here.

Coupled with the magnitude of these specific items are three overriding factors that are most powerful in both pressing for and opening up the way to change. These are: (a) the potential of technology, (b) the limits of financial resources, and (c) the expanding expectations of both those who use and those who operate research libraries.

There has been a great deal of imaginative effort expended in recent years on both the basic topics and on the forces that have created a climate for change. But despite all of this accumulated wisdom, we still seem to lack a capacity for cohesive action of the kind that is required if major transformation of the research library structure of the country is to be accomplished.

Perhaps the time has now come to focus our attention on our commonly held responsibilities as much as on our specific local problems. If we are to meet in a fiscally responsible way our expanding obligations, fundamental change in the structure of research libraries and in the entire system of scholarly communication is required. This country needs a comprehensive system for the bibliographic control of all recorded information; it needs assured access to required information; it needs imaginative use of the technology that now seems capable of making a dramatic transformation possible and, finally, it needs assurance that collections of true distinction, along with related specialist staffs, are being maintained and developed, because without this assurance the importance of all of our other efforts is degraded.

We cannot assume each others service responsibilities, but by our very nature we share certain obligations that can be met only through a true partnership. The magnitude of the job to be done is such that it will require all of our best efforts. We are not part of an information industry. We are the institutions, public and private, to which society has assigned responsibility for an important set of objectives relating to assembling, preserving, and promoting the use of recorded knowledge.

No one has a precise blueprint describing where to go from here, but it does seem certain that the Library of Congress, as the country's leading research library, and the Association of Research Libraries, as the principal organization concerned specifically with the library role in support of scholarship, have essential roles to play. Perhaps the Library of Congress should take the lead by formally establishing a durable, formal and comprehensive planning effort targeted on the basic issues and the reasonably obvious objectives central to research library service and operating with the full participation of the research library community. Without specific attention to planning, especially in the area of bibliographic control, we run a substantial risk of perpetually refining past practices that might prove unacceptable for the future. We need to establish once and for all the position of the Library of Congress as the focal point for the relatively small number of national programs that can serve as the base for a transformation in the character and capacities of research libraries.

For the ARL's part, each member has something to offer as a contributing partner to the development and implementation of national programs, and ways must be found to exploit that capacity. As an association, there is room for improvement in the ways we support the Library of Congress in its search for guidance, for funding, and for public comprehension. We would hope that the Library would turn more often to ARL for this support.

In many ways, this country is looking at 1976 not only as a historical milestone, but also as a checkpoint along a continuing path. Perhaps we can begin something now that will enable us, in the year 1982 and on the 50th anniversary of ARL, to look about and see a sophisticated, reliable, effective and financially viable system for the identification and distribution of recorded information -- a system in which technology is effectively employed, social obligations are met, and public comprehension of our goals and efforts clearly established. I think we know where we want to go -- our problem is to discover how.

* * * *

AUTOMATION ACTIVITIES AT THE LIBRARY OF CONGRESS

William J. Welsh
Director, LC Processing Department

Henriette D. Avram
Chief, MARC Development Office

MR. WELSH: I am going to give a brief introduction which will consist of an update of a statement I made before the Council for Computerized Library Networks. It has been revised to reflect many of the comments that have been made about the statement.

During the past 75 years through its service to the general library community, the Library of Congress has become, de facto, the national library in every sense of the term. Thus, in view of its demonstrated performance, its unparalleled resources, and unmatched expertise, the Library should continue to serve as the national center as we move into a new era of bibliographic control made possible by computerized library networks. The Library's role will be to develop and maintain standard bibliographic devices that will promote consistency in decentralized input to a comprehensive national data base. Decentralized input is a requirement for a national system because the Library of Congress recognizes that it cannot supply 100 percent of the cataloging information that is required nationally. Inevitably, the Library will fall short of total coverage because it will never acquire some bibliographic items; for example, many state and local documents, the output of minor publishers, and various publications in specialized fields.

In serving as the national bibliographic center, the Library expects to provide the following services and products:

Authority Information

1. The Library will disseminate name authority records containing not only the established form of headings and its associated see and see-also references, but also the citations of sources and the information used to determine these forms. Some of this information is now provided by the Library's book catalogs and by the new publication, Library of Congress Name Headings With References, but the coverage is not comprehensive and the data are incomplete even for the headings given. In 1976 the Library will begin to put into machine-readable form complete authority records for all name headings used in the current MARC records along with all new and changed records for nonMARC headings. The authority records will be used to produce an enlarged version of Name Headings in book and microform. In due course, these records will be available on-line through the MARC Distribution Service. Gradually, authority records will be provided for all name headings in the retrospective MARC data base. By 1980, the MARC names file should contain about one million headings.

2. The Library will expand the coverage of Library of Congress Subject Headings to include categories of headings previously excluded from this publication. The 8th edition, prepared according to the older guidelines, has been issued on microfiche and in book form. The data will also be available in machine-readable form in 1976. That list will be kept up-to-date by regular supplements which will be cumulated frequently. In the face of present priorities and staff commitments, the Library feels that it cannot undertake a comprehensive study that would pave the way for a major restructuring of the subject heading system. Such a study might be conducted outside the Library if a highly qualified specialist were available. (I made that remark on Friday in New York to a joint meeting of RTSD and ISAD. Monday morning I had an offer from a specialist to visit the Library to consider working with us in the study of such a major restructuring). In the meantime, the list will continue to evolve dynamically in a way that we expect to be responsive to contemporary needs.

3. The Library will continue to apply LC classification and Dewey decimal classification numbers to all MARC records. This will entail a substantial increase in the output of decimal numbers as MARC encompasses more and more languages and forms of material. It seems unlikely, however, that the Library will provide UDC numbers or that it will undertake to develop a new system of classification.

Bibliographic Data in MARC Form

The Library plans to continue the expansion of MARC's coverage so that all of its current cataloging is put immediately into machine-readable form. At present the input annually is as follows:

Books, English: 78,000 records.

Books, French: 11,000 records.

Books, German: 17,600 records.

Books, Portuguese: 3,000 records.

Books, Spanish: 8,500 records.

Films: 8,500 records.

Maps: 4,000 records.

Serials: 10,000 records.

Current total input: 140,600 records.

According to our present schedule for expansion, we will add in this Fiscal Year '76:

Dutch and Scandinavian language books: 10,600 records.

Italian: 6,800 records.

Romanian: 2,300 records

In 1977 our request to Congress includes:

Books in other roman alphabets: 9,000 records.

Sound recordings: 3,500 records

Music: 2,800 records.

Our '78 request will include the Cyrillic alphabet: 24,000; and in '79, other nonroman alphabets: 39,000, for a total in 1979 of about 230,000 titles. We expect to have all of our current cataloging in machine-readable form by 1979.

Inclusion of records for nonroman alphabet languages assumes a satisfactory resolution of the treatment of the great diversity of scripts and characters. We presently have an LC working group engaged in studying this problem. Beginning in 1976, the Library will also make available the current bibliographic data in its automated Process Information File.

Dissemination of Bibliographic Data

1. The Library will provide bibliographic data and authority information in a wide variety of forms -- printed, microform, machine-readable -- as needed to meet the requirements of libraries of all types and sizes.

2. While continuing to provide these services to individual libraries, the Library will promote the development of regional networks so that, whenever possible, they can take on the role of secondary distributors of LC bibliographic data on-line. In assisting network development, the Library will encourage building on present systems in preference to the creation of new ones.

3. The Library will continue to take the initiative in providing packaged data such as the book forms of the National Union Catalog, Films and Other Materials for Projection, Chinese Cooperative Catalog, and Monographic Series. Recognizing its responsibility for insuring the continuity and integrity of such services at a reasonable price, the Library will consider relinquishing them only when there is strong assurance that their transfer would not adversely affect the library community. That is a stronger statement than appeared earlier, and it is changed to reflect many comments that I received on that point. At the same time, the Library acknowldeges its obligation to cooperate with major abstracting

and indexing services to build a comprehensive national bibliographic data base.

4. The Library will continue to provide publishers with Cataloging in Publication information so that the essential cataloging data on American publications will be available in the books themselves. The CIP program also has the great advantage of allowing this information to be included in the MARC data base at the earliest possible time.

A Look into the Future

By 1980 when all of the Library's current cataloging is in MARC form, users will consult it primarily through online terminals. The book or microform catalog in a register/index format issued primarily for your use will serve the Library as a system backup device. It should also help to minimize the use of online terminals for certain kinds of routine searches. In addition, the Library may find it desirable to maintain some special-purpose catalogs in card form. The transition to this new system will be evolutionary, not revolutionary.

When the automated system has a proven capability to meet the Library's needs, new cards will no longer be added to the Main and Official Catalogs. Of course, these catalogs will remain indispensable guides to LC holdings not represented by MARC records. Eventually, the better of the catalogs will be published in book or microform after errors in filing arrangement have been corrected. Meanwhile, the MARC data base will be considered to be complete for cataloging purposes and new entries will be tailored only to its requirements.

By treating the MARC data base as self-contained, the Library will be free to undertake many desirable projects to enhance it qualities: alteration of older name headings that are incompatible with the current rules, adoption of international standards for romanization, and more vigorous improvement of subject headings. But even more important, reliance upon the MARC data base will enable the Library to make complete name and subject authority information readily available. This, in turn, will promote truly efficient decentralized input to the national bibliographic data base.

Naturally, changes stemming from these actions will affect all users of LC cataloging data. Over the years the Library has routinely made changes in its name and subject headings and its classification numbers, and libraries have generally been able to accomodate to them. Although the volume of changes will be significantly greater when we begin to rely upon the MARC data base, their effects should not be severe. Whatever the immediate difficulties may be, they will be more than compensated for by the long-term benefits of bibliographic control and the vastly increased potential for collaborative effort on a national scale.

* * * *

MS. AVRAM: Automation in the Processing Department depends on the close cooperation of many units (Figure 1). The most active are the following:

1) the MARC Development Office is responsible for automation in the Processing Department from the point of acquisitions through the cataloging continuum up to the point of product distribution;

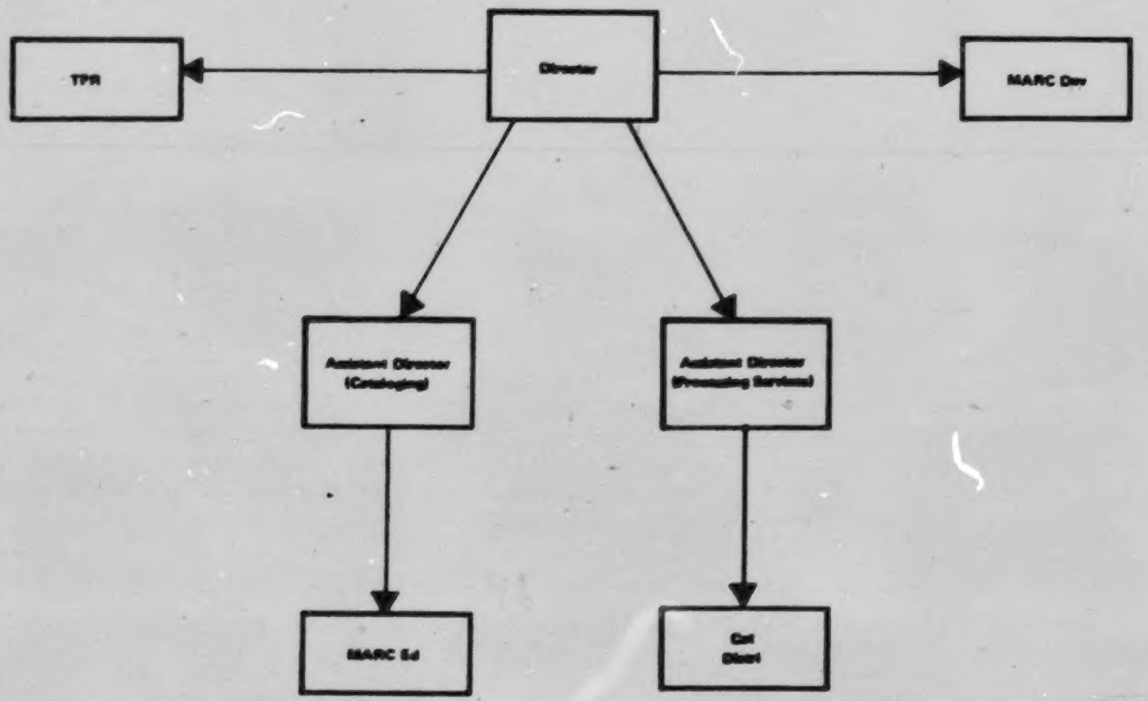
2) the Technical Processes Research Office conducts research for the Processing Department in general but, in addition, serves as the right arm of the MARC Development Office in the research needed to automate complex bibliographic operations;

3) our Serial Record Division, which is not shown on the chart has the responsibility for the assignment of the ISSN and key title for all serial records with U.S. imprints;

4) the Cataloging Distribution Service Division is responsible for the distribution of all cataloging products--photocomposed book catalogs, machine-readable data, printed catalog cards to units of the Library of Congress and also to the library community; and, of course

5) the MARC Editorial Division is responsible for the creation of the records in machine-readable form..

Figure 1. PROCESSING DEPARTMENT


Director
TPR
MARC Dev
Assistant Director (Cataloging)
Assistant Director (Processing Services)
MARC Ed
Cat Distr

The MARC Development Office has a dual responsibility. We are very much involved with the automation of a very complex set of technical processing functions to put information under bibliographical control and make this information available to the staff of the Library of Congress, to Congress and to the users of the Library's collections. But in addition, and equally as important, we have a national responsibility to make all this data available to the nation's libraries.

Because the operation at the Library of Congress is so complicated, we have approached automation as a three-pronged effort (Figure 2). We have, and are continuing to automate certain functions to assist units of the Library in the short term. We are able to produce on-demand bibliographic listings; book catalogs for the Main Reading Room, the Science Reading Room, and the Motion Picture Section; the index to the Monthly Checklist of State Publications and other products.

Figure 2. PROCESSING DEPARTMENT AUTOMATION EFFORT

A Three-Pronged Approach

1. LC Short-Term

    On-demand bibliographic listings
    Book catalogs
    Main Reading
    Science Reading
    Motion Picture Section
    Index to the Monthly Checklist of State Publications

2. LC Long Term

    Core Bibliographic System

3. National and International Library Community

    MARC Tapes
    Printed Products
    On-demand Services -- Online and Offline
    Development of Standards

Our long-term plan, which Lucia will describe in greater detail, is our Core Bibliographic System. Our MARC tape service, printed products, on-demand services, online and offline, and, of course, our great activity in the establishment and development of standards, are indications of our national and international commitments.

I would like to define for you our two major efforts--the Core Bibliographic System and the National Bibliographic Service. Our Core Bibliographic System (Figure 3) is a system to control bibliographic information. Its advantages will be: 1) more expeditious production of bibliographic information; 2) bibliographic information available through a greatly expanded variety of access points; and 3) bibliographic products available in a variety of forms--printed, microform, machine-readable form, and online. We are building this system by implementing individual modules which are immediately useful and which eventually will be integrated into the total system.

Figure 3. Core Bibliographic System (CBS)

Definition: System to control bibliographic information.

Advantages: More expeditious production of bibliographic information.

Bibliographic information available through a greatly expanded variety of access points.

Bibliographic products available in a variety of forms -- printed, microform, machine-readable form, online.

Method: Built by implementing individual functions designed to be immediately useful which are then integrated into the long-range system.

The National Bibliographic Services (Figure 4) is a service to support the nation's libraries. Its advantages are: 1) the decrease in costly duplication of bibliographic processing, 2) the provision of tools for cataloging so that cataloging can be performed in a more consistent manner, and 3) the provision of a national interlibrary loan tool.

Figure 4. National Bibliographic Service (NBS)

Definition: Service to support the nation's libraries.

Advantages: Decrease costly duplication of bibliographic processing.

Provide tools for cataloging in a consistant manner.

Provide a national interlibrary loan tool.

Method: Use of data from external sources.

Make all data from the CBS and external sources available in a variety of forms.

We will build this system using data from external sources, i.e., data from the international bibliographic community, as well as from our own national community, and we will make all the data from the LC Core Bibliographic System and the external sources available in a variety of forms.

* * * *

THE CORE BIBLIOGRAPHIC SYSTEM

Lucia Rather
Assistant Chief, MARC Development Office

When you talk about the Core Bibliographic System you are really talking about the internal processing at the Library of Congress. I think this is a truism, but I am going to repeat it because sometimes I think we forget it. The quality and the quantity of LC services to the national libraries, that is, libraries outside the Library of Congress, are only as good as the products produced by the internal system. In other words, our national bibliographic service is based in large part on the soundness and on the quality of our Core Bibliographic System. That is why we are emphasizing that to you today. If we begin to slip up internally, then we will slip up externally.

Figure 5. MARC DISTRIBUTION SERVICE
Present Coverage - 1975

Form of Materials	Dates Covered	Approximate Volume per Year	Accumulated Totals per Year
Books, English	1968 -	78,300	
Books, French	1973 -	11,000	
Books, German	1975 -	17,600	
Books, Spanish	1975 -	8,500	
Books Portugese	1975 -	3,000	
Films*	1972 -	8,500	
Maps*	1973 -	4,000	
Serials*	1973 -	10,000	
*All languages			140,900

Figures 5 displays some of the MARC statistics that Mr. Welsh referred to earlier, indicating the present coverage of our MARC tape service. The MARC tape service was the very first real bibliographic automation activity at the Library of Congress. As you probably all know, we began with a pilot in 1966 and went on to a full-scale distribution service in 1969. In 1969 we began inputting all of our current English language records. At the time that seemed to be a very small amount, and most people at the Library of Congress did not really feel that this data base was of much use. Here we had 65 years of cataloging, and what use was one year of English language materials cataloged?

But time has gone by, the future is longer than the past, and we now have about seven years of data in machine-readable form; we have expanded to the languages that you see in Figure 5. And we discover from a number of our users, both inside and outside the Library, that we are probably indeed covering or have covered a large portion of the records that are being used in the United States today.

In addition to the English, French, German, Spanish and Portugese books that we are covering at the present time, other forms of material--films, maps and serials going back to 1972 and 1973 are being input. These tapes created at the Library of Congress are, of course, available through our subscription services.

Figure 6. MARC DISTRIBUTION SERVICE

Projected Expansion

Form of Materials	Dates Covered	Approximate Volume per Year	Accumulated Totals per Year
Books, Dutch/Scan.	1976 -	10,600	
Books, Italian	1976 -	6,800	
Books, Roumanian	1976 -	2,300	160,600
Books, other Roman	1977 -	9,000	
Sound Recordings	1977 -	3,500	
Music	1977 -	2,800	175,900
Cyrillic Alphabet	1978 -	24,000	199,900
Other Non-Roman Alphabets	1979 -	35,000	234,900

Figure 6 summarizes our projected expansion, showing that we hope to have most, if not all, of our current cataloging input by 1976.

Figure 7 a very brief summary of our MARC subscribers today. As you can see, we have 65 subscribers to the book service, 15 to films, 24 to serials, and 14 to maps. I think it is rather interesting that 15 of these subscribers are commercial services and 22 of them are outside the United States.

Total number of primary subscribers is not large. However, we estimate -- and we have no way of really confirming these figures -- that there are approximately 1500 libraries that are benefiting from the MARC tapes in one

Figure 7. MARC USERS (1975)

Primary Users		Secondary Users
Books	65	Estimated 1500
Films	15	
Serials	24	
Maps	14	

Notes: 15 commercial subscribers
22 outside U.S.

way or another. They are getting tapes from other libraries; they are getting products from tapes from other libraries. Of course, a major example is OCLC, which is acquiring MARC tapes and making the records widely available. Many of the commercial services are doing the same thing.

In order to produce all of these different kinds of tape services, we have had to develop a series of formats. The original one is the MARC books format. Other formats have been developed since that first format began: one for serials, one for maps, one for films, and one for manuscripts. We do not have a manuscripts distribution service, but there is a manuscript format. These formats are all developed to be directly reactive to the form of material. However, they are all compatible; they can in general be put together to form one generalized format, so that any system wishing to use a generalized system to process all of its material can combine these formats to produce a generalized format and basically use one set of software.

Now I would like to talk a little bit about the use of these MARC tapes at LC. We used to say that LC was the largest non-user of MARC tapes in the United States. This was true for about the first two years after we started with MARC. We expended all of our energy in creating the tapes that were used outside the Library of Congress. But since then the use of the MARC tapes has, you might say, infiltrated the Library of Congress. I will describe some of the ways that we have used this tape data base.

We developed what we called a generalized retrieval package, which has three main components. The first is a program called the MARC Retriever. This is a program which searches a tape file in batch form. It is a very sophisticated little program. You can search on any tag, any indicator, any subfield code, the date in any field, or any combination of any data, tags, and subfield codes. For example, if you wish to, you could query the data base for all books published in 1973 in English, in translation, in the field of literature that are not juvenile. This may seem outlandish, but we have done this for quite a few years for a professor at the University of Indiana who every year compiles a chapter on U.S. literature in translation. If he did not have this service from us, he would spend his time going through bibliographies, proof sheets, and so forth. He can pay us and we do a one-time run against the data base and simply give him a fairly complete printout combining all of this information.

Figure 8. USES OF MARC RECORDS IN LC

MARC RETRIEVER

CURRENT AWARENESS LISTINGS

1) Mainland China
2) Population
3) Africa
4) Afro-Americans
5) Children's literature
6) Reference books
7) Conferences
8) Titles in translation
9) East Central, Southeastern and Eastern Europe

Figure 8 shows some of the current uses of the MARC retriever in LC.

All of the listings shown on this figure are done on a monthly basis. In other words, we search the most recent month's records. For example, we provide listings for the area specialists in the Library of Congress, such as those for Mainland China, Africa, and Eastern Europe. This is done by searching the geographic area codes in the MARC data base. We feel that the geographic area codes are one of the big advantages that we have gotten from the MARC data base. It is very hard to do geographic area searches in our existing card catalogs. If you think about it, if you wanted everything on Africa and you were using a card catalog, you would have to look under everything under Africa, every country in Africa and every city in Africa, every natural feature you could think of in Africa, every major subject heading subdivided by Africa, or the countries in Africa. It would be an exhaustive and exhausting search. Using our geographic area codes, by which with each record we give a code that tells the geographic area that the book is about, you can simply pass the entire data base and retrieve those things that are on Africa, Mainland China, or Eastern Europe.

Some of the other searches are in the fields of children's literature, conference publications, titles in translation (which is used for the list we submit every year to UNESCO for the Index Translationum). This is merely a sample of the kind of monthly listings we produce.

Figure 9 indicates what we call onetime searches. People have asked us to do them one time; they are not done every month. Some of them are rather interesting; the two on statistics on Africa and the economics of five African countries were done for the General Accounting Office when they were auditing the Peace Corps. The American maps is run against the maps data base.

Figure 9. USES OF MARC RECORDS IN LC-2

MARC RETRIEVER
"once-only" listings

1) Festschriften
2) Statistics on Africa
3) Economics of Five African Countries
4) Directories
5) 1972 CIP Records Not Yet Published
6) Chronological Subject Subdivisions Requiring Changes
7) All American Maps Published in 1971
8) Caribbean Economics and Political Affairs
9) Environmental Economics (and of Those Selected, Which Ones Were Issued by the Environmental Protection Agency)

The Caribbean economics and political affairs is an example of the kind of search that we do on-demand for the Congressional Research Service.

Some of our searches have resulted from serendipity. One year when we went to make the run on all the books in English and in translation that were not juvenile, and when I was given the printout by the programmer, it looked a lot thinner than I expected. When I looked a little more closely, I discovered he had asked for everything that was juvenile. What I had there was a list of children's books in translation. I was about to throw it away when I thought I would call up the Children's Book Section and see if they would be interested. I discovered that they were in the process of compiling a bibliography of children's books in translation published that year because ALA was giving an award for the best children's book in translation. So that got them interested. And ever since then we have been building a children's data base for them, for which they can do various searches for such things as books in various languages or different types of books.

That is one aspect of this generalized program, the Retriever itself. Once a user has asked that a search be made, he can get his output in a variety of different forms. He can ask that it be sorted by main entry, title, call number, or anything he would like to have it sorted by. In addition, he can ask for the product to be printed in a variety of different ways. He can get it printed by the computer on cards; he can get it printed on listings, one column, two columns, three columns. He can also specify whether he wants the full bibliographic record or whether he would just like a short record, perhaps the author, the title, the date of imprint, and the subject headings.

This is especially valuable, because sometimes you may inform a user that you got 1,500 hits and if the full record is to be printed out, it would cost the user $350, but if the user just wanted a short record, we can do it for about $100. So the user does have the flexibility of requesting less than a full record.

Most of these runs are done for the Library of Congress; they are done for the Reference Department, the Congressional Research Service, and quite often for the Processing Department when we are investigating what the effects of various cataloging changes would be to the card catalog.

We also do these searches on demand, on a cost basis, if people write to the Library of Congress, but that has not been an extensive service. Searching the whole data base is an expensive process, and we do not encourage people to do it. If they want all the books by Mark Twain, we advise them to use the card catalog, but when they do want some of these things that you cannot get from using the card catalog, the Retriever has proved to be a very valuable way of using the data base.

Figure 10.

BOOK CATALOGS

Computer-Printed

Main Reading Room Catalog

11,000 monographs, 2,600 serials
Titles in the reference collection of the
Main Reading Room, Library of Congress

Science Reading Room

4,000 monographs, 750 serials
Titles in the reference collection of the
Science Reading Room, Science and Technology
Division, Library of Congress

Figure 10 shows some of the other uses of the MARC tapes at LC. In the course of the years we have put several of our smaller collections into machine-readable form. It has been done for two reasons. You may find it difficult to believe, but for many years we had no catalog of the Main Reading Room collection. The reference alcove specialists knew what was in the collection and it was really up to them to direct people to the proper place. And so one of the early projects that we carried out was to put the entire Main Reading Room collection into machine-readable form. The Main Reading Room staff gets printouts via the computer, by author, title, call numbers, and so forth. There are about 11,000 monographs and 2,600 serials in the data base. Actually that data base itself, I believe, will be available for sale later on in the year to people who would be interested in what the Library of Congress thinks is valuable to put into its Main Reading Room.

We did the same for the Science Reading Room, where there are 4,000 monographs and 750 serials. And for this collection we also produced book catalogs printed on the line printer. They are not elegant to look at, but they can be very useful. The records are sorted according to a program called LIBSKED. LIBSKED allows us to arrange bibliographic records according to the current filing rules used at the Library of Congress for its computer-produced book catalog.

Figure 11.

BOOK CATALOGS

Photocomposed

Library of Congress Catalog: Motion Pictures and Filmstrips

LC's first attempt in using MARC Data for book catalogs on a production basis.
Estimates 10,000 records per year.
Three quarterly issues, annual cumulation, and quinquennial cumulation.

Figure 11 refers to photocomposed book catalogs which we are producing, and these are the beautiful ones. I should not use this in the plural at the moment, all we are doing is the films catalog; we decided to start small. We wanted to start with a catalog where we were putting everything in one area into machine-readable form. Films is a small data base; we put about 10,000 film records a year into machine-readable form. And so now the films portion of the National Union Catalog is published each quarter via completely photocomposed methods. We take the MARC tapes of films, process them on the Videocomp in the Cataloging Distribution Service Division and produce those catalogs in that way. We produce quarterly issues, annual cumulations, and eventually we will issue a quinquennial cumulation.

Another use of the existing tape system is the printing of the cards. All the currently produced cards for which there are MARC records come through the Cataloging Distribution Service's Videocomp system. This is helpful in a number of ways. It cuts down on the amount of hot type setting that we have to do, and it also allows us to produce in the very same operation the cards with the overprinted headings to file into all the Library's different catalogs.

That is what we have been doing with the tape data base all these years. And we have been getting quite a lot of use out of it, but we have known that the tape data base would not suffice forever. As that data base keeps getting bigger and bigger, searching via the MARC Retriever takes longer and longer and becomes more and more expensive.

We have been working for the last few years on putting the MARC system online. We have been developing a system that we call the MUMS System. That means Multiple Use MARC System; it is designed to be a generalized system that will be hospitable to various kinds of applications or uses of the automated data base.

The very first of the projects that we began with was to help out in the creation of the MARC records themselves. The MARC records at present are created at the end of the line. After all the cataloging is done, we take the full bibliographic record and put it into machine-readable form. At present that is a tape batch process.

Any of you who are involved in tape batch input know that you input the record and then you get a printout and you proof it, and when you find mistakes, you mark the mistakes and send it back to the typist, who inputs the corrections and it comes back. And you proof it again, because typists frequently make mistakes when they input the corrections. And then those corrections are corrected and then you get the printout again and you proof it. And this is done at the rate of about one cycle a day. When the record is finally correct, you mark it as correct and it goes back to the typist and she keys in the number again with a verification symbol so that it will be moved from the work file to the full MARC data base. This recycling of records gets to be extremely difficult. It was possible to live with in the beginning when we were doing about 60,000 records a year. But now that we are doing 140,000 records a year, the recycling is unbelievable.

The MARC redesign is an effort to help out by the use of online input and update in the creation of MARC records. We are not going to input them initially online. We are going to input them initially using our offline devices, the MT/STs. We will have a typist type what she sees from the catalog card; it will go into the system, run through our format recognition programs, which create a full MARC record and will come to the MARC verifier as a full MARC record, and hopefully correct. But maybe not correct. So the first thing the verifier will have to do is proof it. The verifier will mark on the printout the corrections that need to be made, and then will take the printout to a terminal, call up the records one by one, make the corrections online right there at the terminal, check each record to see if it is correct, and if so, will hit the verify button. The record will be completed right then and there, no more recycling of paper. We are hoping that this will cut the average time of creating a MARC record drastically.

The development of this system has also meant the development of terminals which would display the Library of Congress's full 176-character character set. This character set is really the ALA character set. It was developed jointly by LC and ALA. It allows us to input and display all the major roman-alphabet languages. I do not think it will include Lappish and a few others, but again, it will include the major roman-alphabet languages and also the nonroman-alpahbet languages in romanized form.

We hope to begin limited production of this system later on this fall. We call this the MARC redesign. We have to be very careful when we use this phrase because people think we are redoing the MARC format and everyone gets uptight. But we are not. This is merely a redesign of our internal operation.

The second use of the MARC online system is what we call the MARC search system. This is what you might call a temporary expedient. We are still inputting the records offline, but then we are taking that tape data base and loading it onto disc and indexing it.

At the present moment we have the entire MARC data base online; there are over 600,000 records in that data base. Those of you who came to the Library of Congress for the tour yesterday afternoon saw various people searching that data base and carrying out various duties.

The data base is currently indexed by three different keys. You can search it by the LC card number, you can search it by a three-three author/title key and a three-one-one-one title key. It has a rather interesting feature, I think. If you put in one of those keys, such as "Uni, Rep", which would be the key you would put in for anything that began "United States" anything and started out "Report" on anything, you would immediately probably get two or three thousand hits. And the system is not equipped to cope with two or three thousand hits; in fact, at the moment it will only cope with 30 hits. The first thing you will get back is a message from the computer saying you have too many hits. You can do something about this. You can resubmit your search and you can add as a qualifying term any word or portion of a word that you know of that will appear in any field in that record.

For example, if you were looking for a report of the United States Bureau of Water Pollution (I have no idea if such exists) you could key in "Uni Rep" and then you could key in the main entry equals water pollution. And then the system would go back and it would select only those things beginning "Uni" and "Rep" that had "water pollution" in the main entry. And this, of course, immediately would cut your search down to a handful of items that you could easily scan. We plan in the fairly near future to add keys for personal names, so that you can search all books by a given author, and also for corporate names.

Figure 12 shows where this system is being used in the Library of Congress at present. It is being used in the Bibliography and Reference, and Correspondence Sections of the General Reference and Bibliography Division. It is being used in the Science and Technology Division by the Information Services Specialists, by the Loan Division, and by the Union Catalog portion of General Reference and Bibliography.

All of these are reference areas that generally use either the Public Catalog or the Official Catalog. The new system allows reference specialists who know they want a recent title or know the title is in a language covered

Figure 12.

MARC ONLINE

Reference Department

Bibliography and Reference
Correspondence Section (GR&B)
Information Services Specialist (Sci)
Loan Division
Union Catalog and International Organizations
Reference Section (GR&B)

Congressional Research Service

Library Services Division

by MARC to simply use a convenient terminal in their area rather than going to the Public Catalog. The Congressional Research Service uses it, the Library Services Division uses it quite heavily. Many congressional requests are limited to English language publications and to material that has been published in the last five years.

Figure 13.

MARC ONLINE

Processing Department

Bibliographic Inquiry Unit (CDSD)
Bibliographic Section (Shared Cat)
Cataloging in Publication Program
Decimal Classification Division
MARC Editorial Division
NUC Control Section (Cat Publ)
Preliminary Cataloging Section (Desc Cat)
Process Information Unit (Cat Mgmt)
Technical Processes Research Office

Figure 13 shows where the system is currently being used in the Processing Department. It is being used in the Bibliographic Inquiry Unit of the Cataloging Distribution Service Division. As you know, when you order cards, you do not have to have the card number; you can just give us the author and title. For many years we have been searching mammoth card files for such requests. Now, when the request seems to be for a current title in one of the MARC languages, it is searched against the online MARC data base.

In Shared Cataloging the staff searches reports coming in from outside libraries where people are asking if a book has been ordered in the Shared

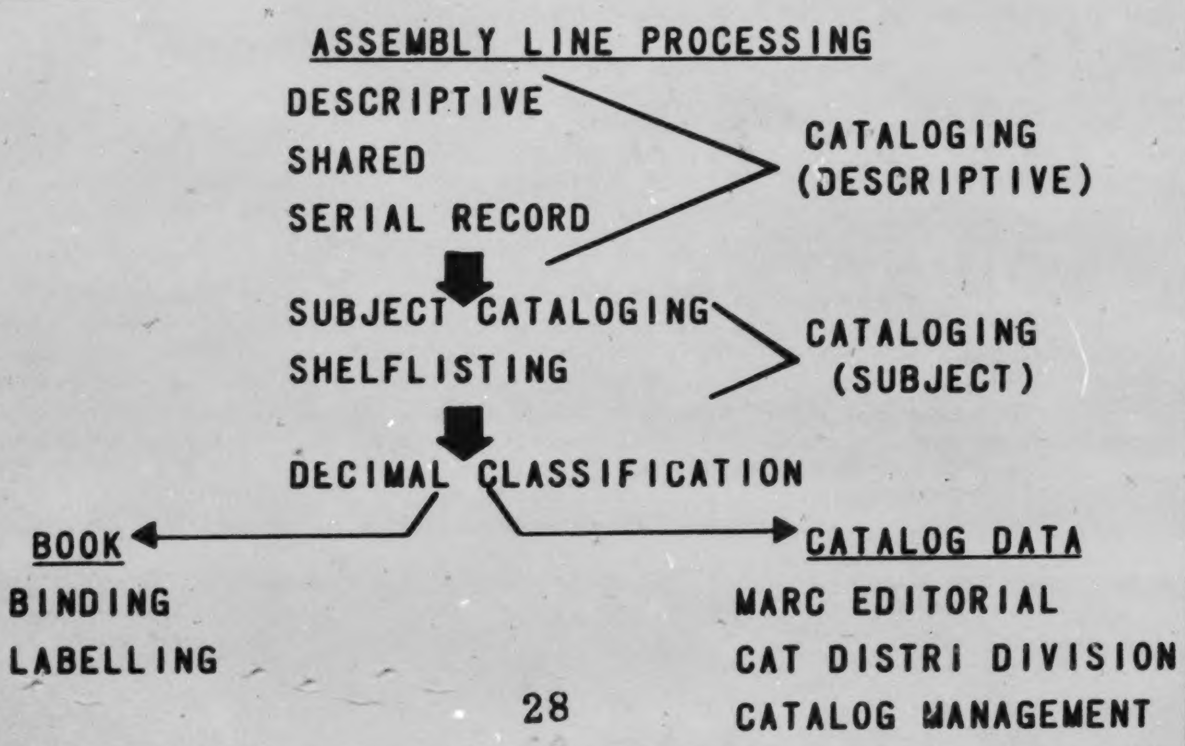
Cataloging System. And if it has, they want the card; and if it has not, they request that the book be ordered. These reports are all searched on the MARC data base.

Catalog Publication is another place where the system is being used quite heavily. This division receives reports for the National Union Catalog, and the staff must first determine if this title has already been cataloged by LC. As the reports are received they are divided into current and noncurrent titles and the current are searched first against the MARC data base.

We have right now 16 terminals that are actually in use more or less most of the time. According to information we get from the Information Systems Office, we are averaging about 6,000 transactions a day on the computer system.

The foregoing has been a picture of the use of the existing MARC data base, the finished bibliographic record after it has been put online. Now I would like to go back a little bit and look at the entire processing of the Processing Department and talk about how we are planning to try to use automation to help us out in our internal activities as we create these records. As indicated in Figure 14, and as most of you probably know, processing at the Library of Congress is an assembly-line process. I do not know how many people get their hands on every book that comes into the Library, but it goes from one station to another, beginning with an acquisitions station and ending up finally in the Cataloging Distribution Service Division.

Figure 14.


ASSEMBLY LINE PROCESSING
DESCRIPTIVE
SHARED
SERIAL RECORD
CATALOGING (DESCRIPTIVE)
SUBJECT CATALOGING
SHELFLISTING
CATALOGING (SUBJECT)
DECIMAL CLASSIFICATION
BOOK
BINDING
LABELLING
CATALOG DATA
MARC EDITORIAL
CAT DISTRI DIVISION
CATALOG MANAGEMENT

Acquisitions is carried out at the Library of Congress in at least three, maybe four, divisions. We get things via copyright, exchange, and gift, gifts from publishers. And, as a last resort, when we cannot get something any other way, we will buy the book; so we have an Order Division as well. The Order Division system has been in the process of being automated for the last few years. The bibliographic portion of that system is complete. In the bibliographic system we input the title just once and get from the system orders that go off to the publishers, follow-up orders when the book does not arrive on time, in process listings to tell us the status of any order, notices to people in the Library who have requested that books be ordered to tell them the book has been ordered, and that sort of thing. We are currently working on the fiscal portion of the system, so that the system will do all of the debiting of the accounts and so forth. That should be complete some time in the spring.

Once the book gets into the Library it has to go through many different processes, and to control this, we have what is known as a Process Information File. As a book goes from one cataloging division to another, it is necessary that we be able to find where the book is. Some of the books that come into the Library are processed very quickly, and some are processed very slowly indeed. We have a priority system. American book trade books and books that are acquired on the Shared Cataloging Program by request of the NPAC libraries get very high priorities and go through the system just as fast as possible. If a congressman wants a book, it really goes through the system in a hurry.

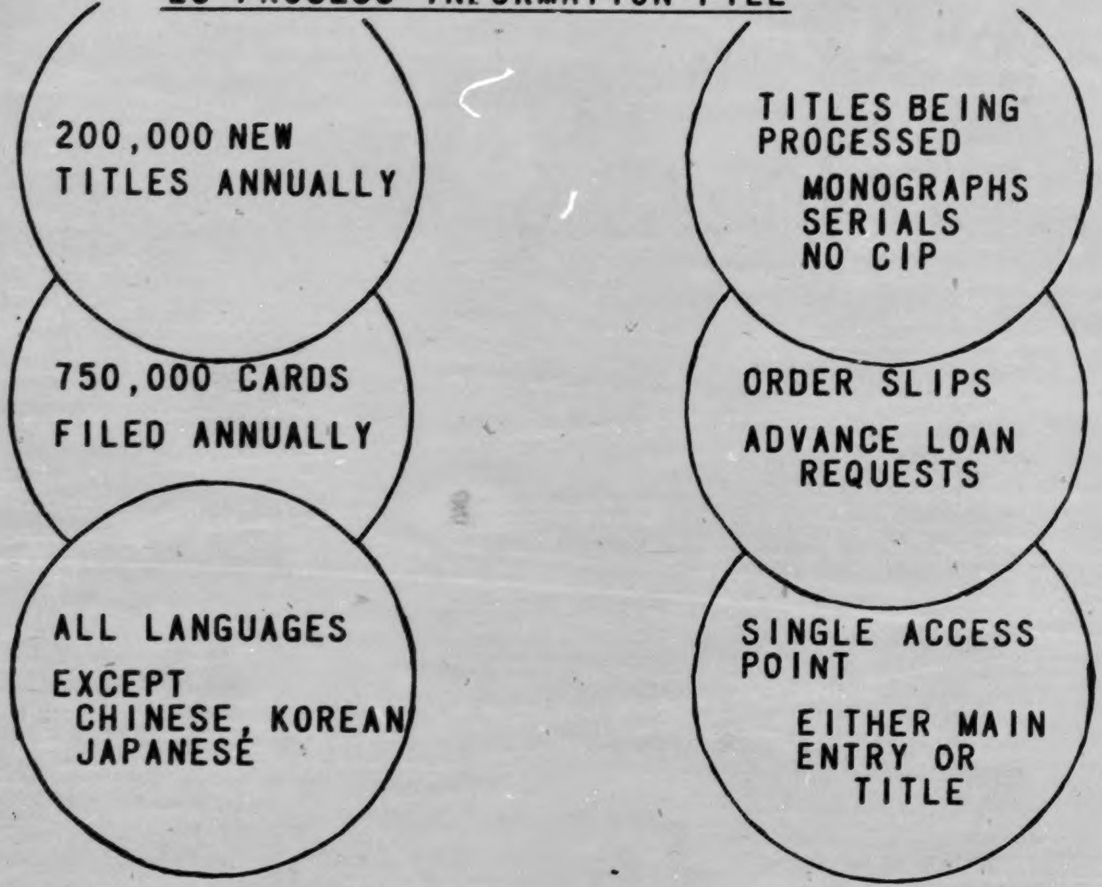
But there are other more ephemeral materials, such as pamphlets from Latin American countries or Balkan countries that we have acquired through our various acquisition systems -- they have very low priorities and they go through very slowly. In fact, some of them do not go through at all. We have some records in our Process Information File that date back to the 1940s for materials that have gotten lodged in backlogs; no one has ever asked for it, and there are always more important things that have to be done. But we have to have a Process Information File to control where this material in process is.

Figure 15 shows what is in that file right now. We add about 200,000 titles to it annually. As each book goes to each cataloger, he sends a card through to the file saying, "I now have the book, bump out the previous cards," so that you can look in the file and say that Mr. John Smith in Subject Cataloging got the book on May 12th, 1972, or whatever. Approximately 750,000 cards are filed in that file each year, in all languages except the oriental languages. We also have in the file order slips and advance loan requests. When we have a congressman who wants a book, we flag the record in the file saying, "Give it a higher priority."

The manual file at this point is single access. The older part of the file is arranged by author; the current part of the file is arranged by title. We use this file for two purposes. When a new book comes to the

Figure 15.

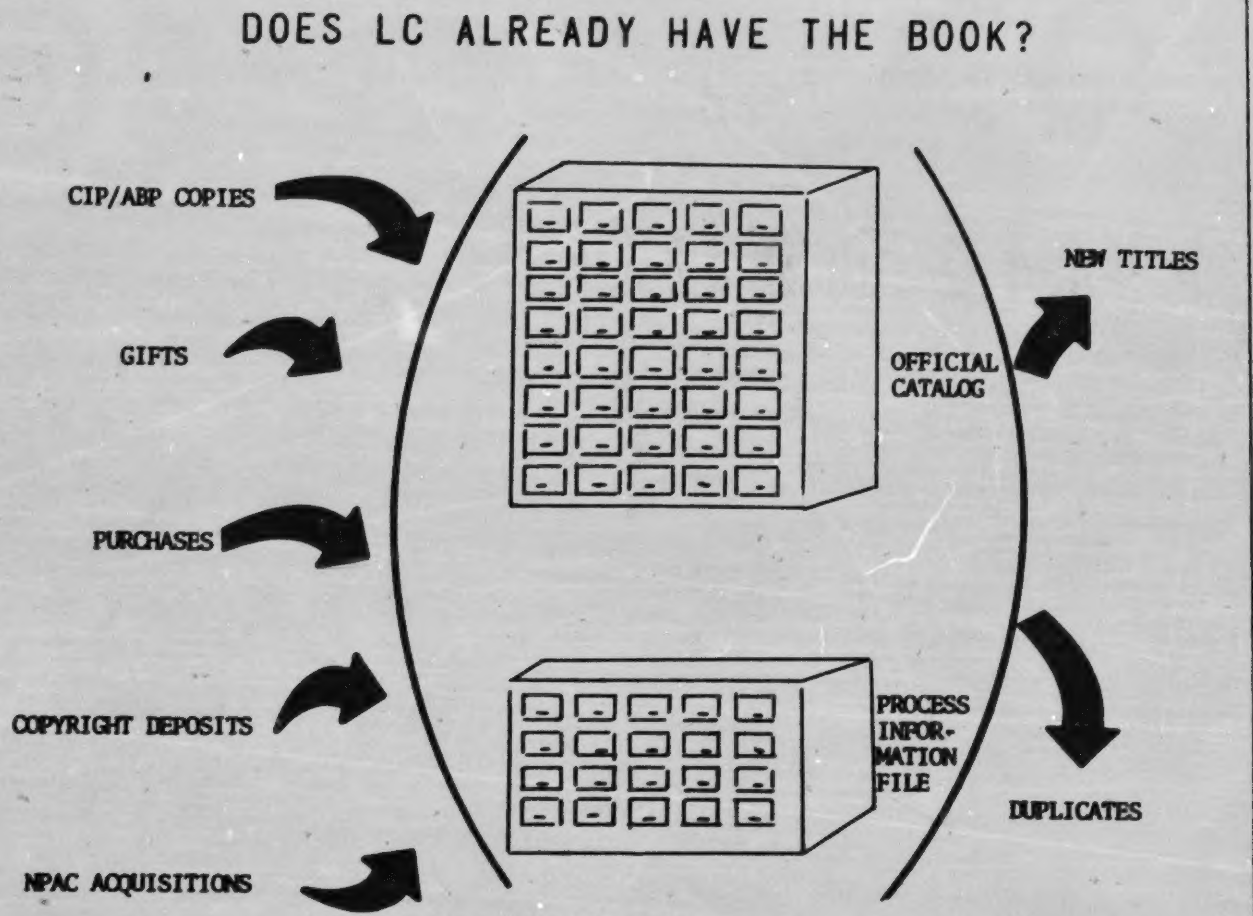
LC PROCESS INFORMATION FILE


200,000 NEW TITLES ANNUALLY
750,000 CARDS FILED ANNUALLY
ALL LANGUAGES EXCEPT CHINESE, KOREAN JAPANESE
TITLES BEING PROCESSED
MONOGRAPHS
SERIALS
NO CIP
ORDER SLIPS
ADVANCE LOAN REQUESTS
SINGLE ACCESS POINT
EITHER MAIN ENTRY OR TITLE

Library, we want to know if the Library already has the book? Because we acquire things from so many different sources, we acquire a very large percentage of duplicates. So we certainly cannot assume when a book gets to the Library that it is new. We always have to search it first to see if it is in the system. We must search both the Official Catalog and the Process Information File for each new title as it comes into the Library, as shown in Figure 16. The second question is, "where is it?" It may be on the shelf, but it also may be in Mr. John Smith's cataloging arrearage and we want to add this copy to the first one so that both of the books can go through together.

Figure 17 shows in diagrammatic form the progress of a catalog record through the system. Those little boxes at the bottom are what we call our manuscript card, the card the cataloger is cataloging on. Attached to

Figure 16.


DOES LC ALREADY HAVE THE BOOK?
CIP/ABP COPIES
GIFTS
PURCHASES
COPYRIGHT DEPOSITS
NPAC ACQUISITIONS
OFFICIAL CATALOG
PROCESS INFORMATION FILE
NEW TITLES
DUPLICATES

each manuscript card is a set of 3x5 cards containing the preliminary cataloging information. As the manuscript card goes through the system, the cataloger extracts a 3x5 card and sends it to the Process Information File. So that is the existing card system.

Once a book has been acquired, it goes to one of our cataloging divisions: Descriptive, Shared, or the Serial Record Division that catalogs serials. It then goes on to Subject Cataloging and Shelflisting, and then to the Decimal Classification Office where Dewey numbers are added. Then the book and the card separate. The book goes for binding and labeling to the shelf, and the catalog card goes now to the MARC Editorial Division where it is put into machine-readable form. Then it goes down to the CDS Division, where the cards are printed, and finally the cards go to Catalog Management where they are arranged for filing in the Official Catalog. So you can see that the book and the catalog record go quite a few places, and you have to keep track of them all the way through.

Figure 17. CURRENT LOCATION REPORTING SYSTEM

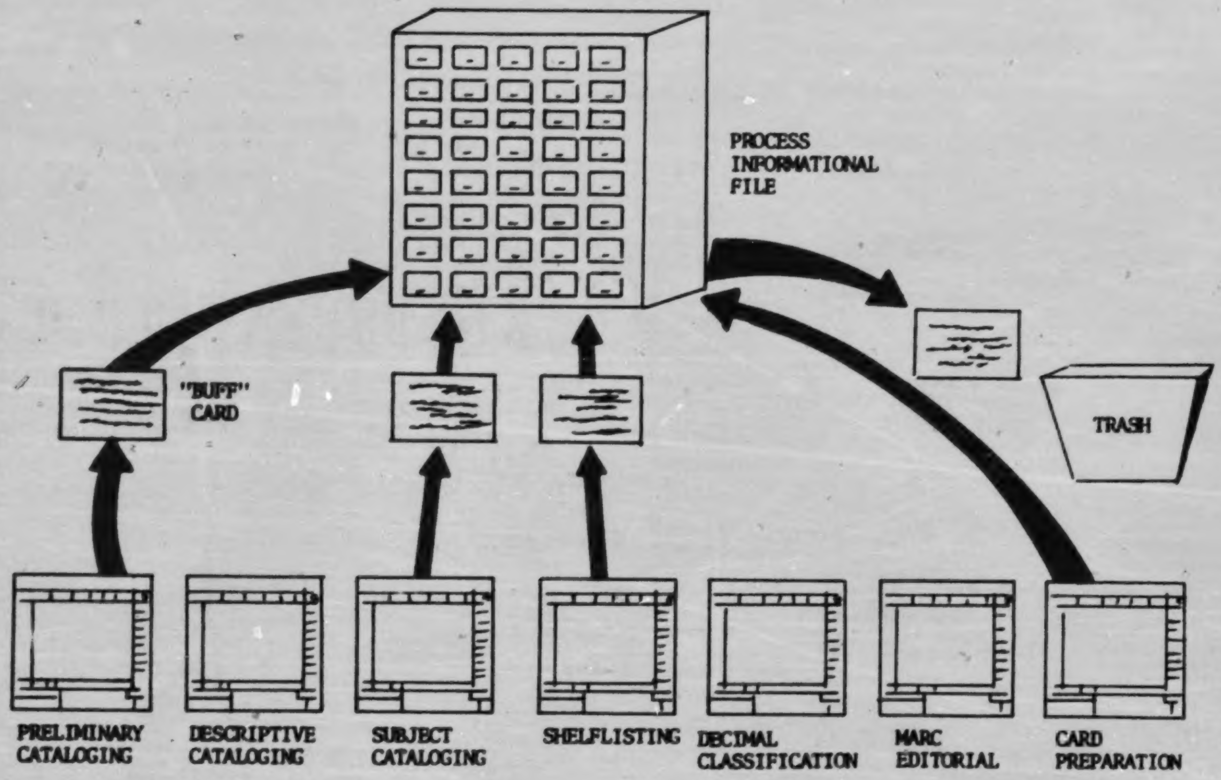

PROCESS
INFORMATIONAL
FILE
"BUFF"
CARD
TRASH
PRELIMINARY CATALOGING
DESCRIPTIVE CATALOGING
SUBJECT CATALOGING
SHELFLISTING
DECIMAL CLASSIFICATION
MARC EDITORIAL
CARD PREPARATION

Figure 18 shows some of the problems with the manual file. It is a massive filing effort, and misfilings occur. And once you get one card misfiled, as you probably all know, you are likely to start misfiling behind that card and get two files in the same alphabetic sequence. There is a delay in purging of the files, and sometimes records are not completely purged. This results in records in the Process File for materials which have really completed processing and are in the Official Catalog. In addition, there is only one access point, so you must know fairly accurately the title of the book to find out whether the book is in the Library.

Figure 18. PROBLEMS WITH MANUAL PROCESS INFORMATION FILE

- Size of File
  - Massive Filing Effort Required
  - Misfilings Occur
  - Delay in Adding/Replacing Cards
  - Incomplete Purging

- Single Access Point

- Few Location Reports

- Single Physical Location

We cannot afford to have all the different stations that the book goes to send a card to the Process Information File; we can only have a selected few. Descriptive, Subject, and Shelflisting are really the only ones that send in a process file card now. In addition, the file is in a single physical location. The Library of Congress is spreading all over Washington; we are now in about six or seven locations. People who wish to find out something have to call up the Process Information File and get someone to search it when they are trying to find out if a book is in process.

We are now in the process of automating this file. Under the new system, when the book has been certified as new to the library, a preliminary cataloger will key into the system an abbreviated record that only includes the author, the title, and the basic descriptive information, but not any of the subject information or the classification number. We will put into this file all those books that are new to the Library of Congress.

Figure 19.

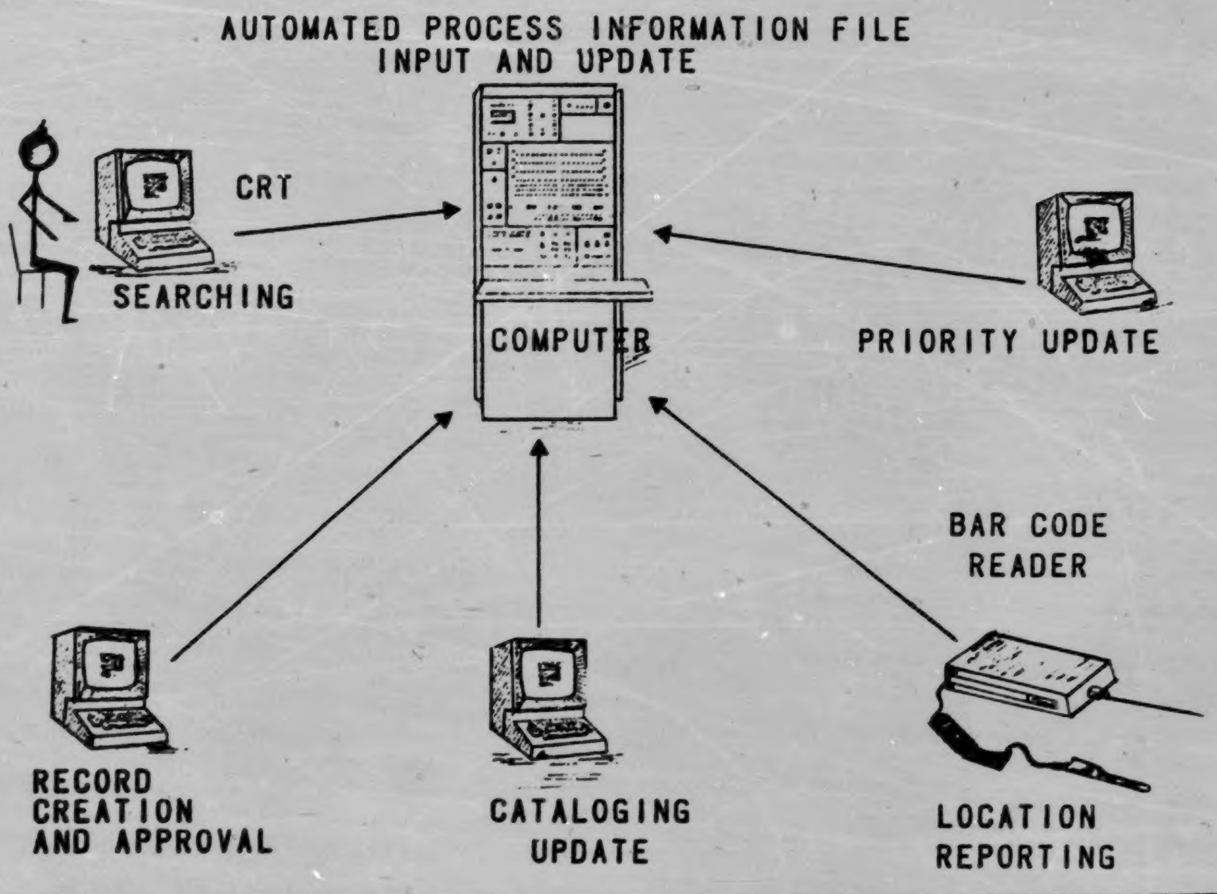

AUTOMATED PROCESS INFORMATION FILE
INPUT AND UPDATE
CRT
SEARCHING
COMPUTER
PRIORITY UPDATE
BAR CODE
READER
RECORD
CREATION
AND APPROVAL
CATALOGING
UPDATE
LOCATION
REPORTING

Figure 19 is really a schematic of the current processing system. It shows that we will be inputting via a terminal to the system, and then from the system a manuscript card will be printed out to be used by the cataloger. A bar code label will be pasted on the manuscript card. As the book then goes through the system, each cataloger will be equipped with a badge that will also have a bar code on it. It is the same kind of bar code that you see in supermarkets on products these days. There will be various stations located throughout the Processing Department, and at these stations you will be able to report to the system where the book is at that point.

Figure 20.

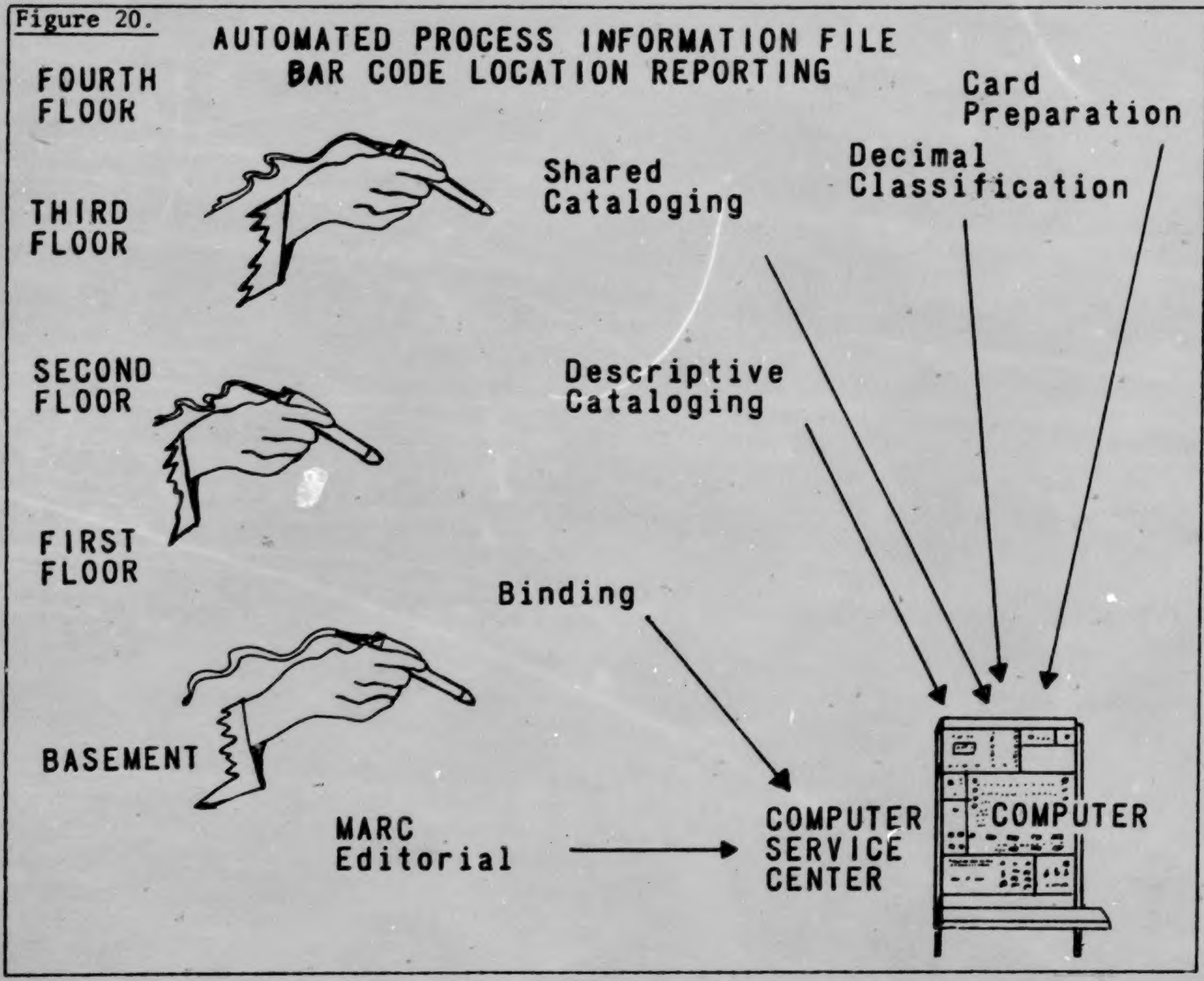

AUTOMATED PROCESS INFORMATION FILE
BAR CODE LOCATION REPORTING
FOURTH FLOOR
THIRD FLOOR
SECOND FLOOR
FIRST FLOOR
BASEMENT
Shared Cataloging
Card Preparation
Decimal Classification
Descriptive Cataloging
Binding
MARC Editorial
COMPUTER SERVICE CENTER
COMPUTER

Figure 20 shows how we will report on where the book is in the system. For example, a cataloger gets a book, and the manuscript card and the book will have a bar code label pasted on them. The cataloger will have a badge of his own that will have a bar code on it. He will take it to this station and pass a light pen over both his bar code and the book's bar code, and the system will say, Mr. John Brown in Subject Cataloging on October 12th has such and such a book. Then if anyone wishes to find that book, they can go to terminals, which will be located all over the Library, call up that record by a variety of search points, and find out 1) Is it in the Library? and 2) Where is it in the Library? thus ending all the filing that we have in the current file.

Figure 21. APIF SEARCHING ACCESS POINTS

LC Card Number
Author/Title Key
Title Key
Personal Author Key
Corporate Author Key

Series
ISBN

Figure 21 shows the access points to the Automated Process Information File (APIF). They are essentially at the moment the same access points that we have in the MARC search system: LC card number, author/title key, title key, personal author key, and corporate author key. We hope to add before very long series and ISBN.

Figure 22. ADVANTAGES OF AUTOMATED PROCESSES INFORMATION FILE

- Currency of Process Information File
- Manual Filing Saved
- Rapid Searching for Many Items
- Multiple Access Points
- Access from Remote Stations
- Several Files Searched Simultaneously
- More Complete Location Reporting
- Management Information Data Collected
- Early Distribution of Cataloging Data Possible
- More Efficient Keying of Preliminary Cataloging
- Greater Control of LC Card Number Assignment

Figure 22 reviews the advantages of the automated system. For one thing, it should be much more current. There will not be a delay in waiting for somebody to file into that file a card showing that Mr. John Smith has the book.

I will not go through all of the advantages, but the access from remote stations means that someone down in the Map Division or in the Cataloging

Distribution Service Division in the Navy Yard will no longer have to call in to find out; they can use their own terminals to search the file.

And although there will be physically two files, one Process Information File and one MARC File, this will be transparent to the user; he will ask for the record and the system will search both files and tell him where the record is. He will not necessarily have to specify what file he thinks it might be in. So these are, then, basically the advantages of the Process Information File system.

This system has also been dependent upon the development of the terminals with the extended character set. We hope that input to the system will begin in January with English language records, and we will expand as quickly as possible to all the other languages. So you can see that, although we have 16 terminals going now, by January or February we will probably have some 50 or 60 terminals in use at the Library of Congress.

We also plan to make the APIF records available on tape. These records will be available through the MARC Distribution Service. This preliminary information available some weeks, months, or years prior to the creation of the final catalog card, may be useful for acquisitions or other purposes.

Figure 23.

AUTHORITIES - 2

PRODUCTS

- Authority Lists
  - LCSH and supplements
  - Names
  - Microforms
- Distribution service
- Book catalogs
- Miscellaneous
  - Weekly Lists
  - Cross Reference cards

Online

The second major area we are working on right now is in the area of authorities (Figure 23). As you know, we have put our subject data base into machine-readable form. This is the old subject data base that was used to create the Seventh Edition. We had to convert it to MARC form. We have now finally issued the Eighth Edition. I think some of you saw a copy as you went on the LC tour, or maybe you already have your copy. We have also made it available in microform, and we hope that we will be able to provide updated microforms much more inexpensively and much more frequently than the old printed edition. We have also been producing all the supplements to the MARC subject headings list from that system for the last few years. We also hope to make a tape service available with those subject headings available some time in the spring.

An added advantage to this automated system is that for the first time we have been able to include in that data base what we call the nonprint subject headings. Some of you may think all of our subjects are in that red book, but they are not. We have omitted such things as personal names, proper names, and names of geographic subdivisions, because it simply would have made the list too large, too unwieldy to use. Now that we are able to put the information in microform, we will be able to include this nonprint material and probably make the nonprint headings available in the microform editions even if they are not available in the printed edition.

Another advantage to LC is that we are now printing the cross references to go into the card catalogs from that system. We are developing a similar system for names. This system is being developed first to help LC. We are developing this system to aid the cataloger in the cataloging process. But as a byproduct we hope we will be able to produce the publication Names with References, tapes perhaps with names data, a microform edition of the name authorities, and so forth.

We also plan next to put both the names and the subject authorities systems online. This will mean that our catalogers will be able to search that authority data base online and eventually link that data base with the appropriate bibliographic record. Not only should this system be available for use by catalogers inside LC, but we hope eventually it will be available online outside LC.

Figure 24.

GENERALIZED PUBLICATION SYSTEM

1. Interface with Name and Subject Authority Files to produce cross references
2. Output to: Computer Printer
   Videocomp
   COM
3. Provide Register/Index type catalog
4. Provide Authority Lists

Finally, we want to use this authorities data base in the use of a generalized publication system (Figure 24) which will have several features. It will allow us to take our bibliographic data base, process it against the authority files whenever we want to produce book catalogs, and generate automatically all the cross references that will be needed for a given issue of that publication. It will be generalized also in the sense that we can use the same set of programs and, by changing parameters, direct the output to a computer printer, to a Videocomp, or to a COM (Computer-Output-in-Microform) device. We hope that it will provide not only the traditional book catalog format that we have had for many years, but also a register/index type catalog. And, finally, we hope to use it in the production of authority lists.

So I would like to conclude with a review of what we are trying to do in this Core Bibliographic System. We want to capture the data at the beginning of the process, and we hope that we will be able to upgrade it and augment it as it goes through the system. We hope that the catalogers will be able to compare bibliographic data against our various authority files and be helped out in the creation of data by automatic verification of various fields against authority files.

Finally, we hope that when we finish the system we will have the production of the bibliographic records by a man/machine mix.

* * * *

THE NATIONAL BIBLIOGRAPHIC SYSTEM

Henriette D. Avram
Chief, MARC Development Office
Library of Congress

Lucia has described the Core Bibliographic System to you. I am going to tell you something about our national and international activities and then attempt to draw together the various projects into a cohesive whole.

Figure 25.

MARC DEVELOPMENT OFFICE
NATIONAL ACTIVITIES

Organization	Committee	Task	Participation
American National Standards Institute	Z39.SC2	Formats*	Chairman Member
	Z39.SC37	Country Codes	Chairman
American Library Association	RTSD/ISAD/RASD	Representation in Machine Readable Form of Bibliographic Information	Liaison
	RTSD/CCRC	Rules for Machine Readable Data Files	Member
Music Library Association	MLA/MARC	Music Format	Member
Council on Library Resources	CEMBI	Sharing Bibliographic Information (Books)	Member
	CONSER	Conversion of Serial Data Bases	Member
Advisory Group on National Bibliographic Control	Working Party	Formats for Journal Articles and Technical Reports	Member

*Adopted standard

The staff of the MARC Development Office has been very active in national activities (Figure 25). We know the importance of standards, as do the rest of you, and have given a lot of our effort to this activity. We are working with the American National Standards Institute on the subcommittee responsible for formats and country codes. We work with the American Library Association, principally with the MARBI Committee, which is an interdivisional committee. Other ALA responsibilities include membership on the RTSD Subcommittee on Rules for Cataloging Machine-Readable Data Files, various activities in ISAD, and, work with the Music Library Association on the development of the MARC music format. We were on the committee sponsored by the Council on Library Resources that was concerned with the problems of sharing bibliographic data already in machine-readable form. The work of this committee led to the COMARC project, which I will describe in a little more detail later. We also have set up by the Advisory Group on National Bibliographic Control for the format design for journal articles and technical reports.

Figure 26.

MARC DEVELOPMENT OFFICE
INTERNATIONAL ACTIVITIES

Organization	Committee	Task	Participation
IFLA	Working Group	Content Designators	Chairman Member
ISO	TC46/SC4/WG 1	Character Sets	Chairman Member
	TC46/SC4/W3 3	Filing	Member
	TC46/SC4/WG 4	Bibliographic Formats	Member

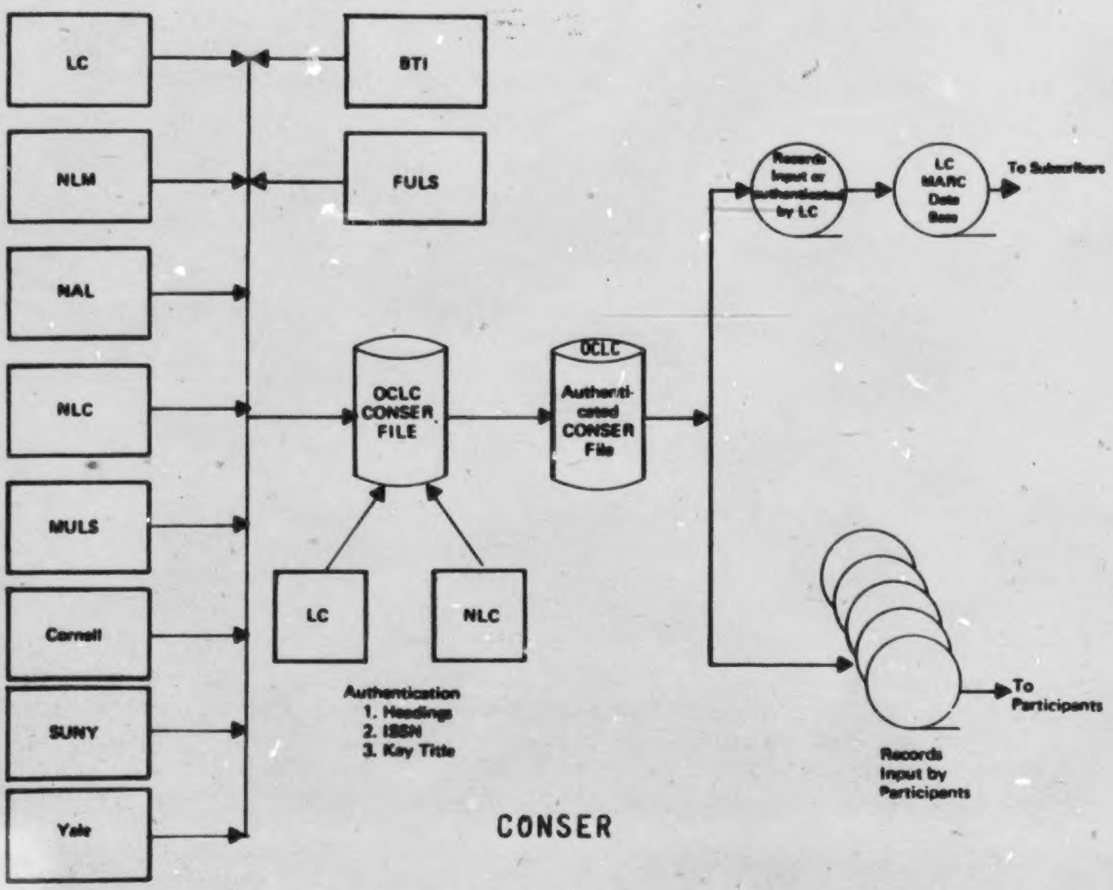
Following the development of MARC at the Library of Congress, MARC projects were implemented all over the world (Figure 26). Though the structure of the format used was identical across international projects, the data content of the format was not standard. That is not surprising since there are no internationally accepted standard cataloging rules, or any international subject heading system or classification scheme. In addition, in the international environment, we are concerned not only with libraries but also with national bibliographies which perform a different function than a library. This difference is reflected in the data content of the record.

A great deal of MARC Development Office effort has gone into working in the international environment toward standardization. We are part of a very important working group in IFLA concerned with designing an international MARC format for exchange of bibliographic information across national boundaries. Great strides have been made in this area, and the success to date can be attributed to the ISBD for monographs, which forms the base record for the international MARC format.

We are also working closely with ISO on character sets and file arrangement. We are principally concerned with character sets because of the great amount of work done in this country, and we would like to see the international character set follow the ALA character set as closely as possible.

International work is very meaningful for LC because of our Shared Cataloging program. We see the day when the machine-readable records received at the Library will be input into our system; the bibliographic description will be used as given in machine-readable form and the record will be modified to add LC names, subject headings, Dewey numbers, etc. This will avoid duplicate effort and should be cost beneficial to both LC and to this nation's libraries.

Figure 27.


LC
NLM
NAL
NLC
MULS
Cornell
SUNY
Yale
BTI
FULS
OCLC CONSER FILE
OCLC
Authenticated CONSER File
LC
NLC
Authentication
1. Headings
2. ISSN
3. Key Title
Records Input or authenticated by LC
LC MARC Data Base
To Subscribers
Records Input by Participants
To Participants

CONSER

One of the most significant national projects going on at this time is CONSER; CONSER standing for CONversion of SERials (Figure 27). CONSER is a cooperative effort. Its aim is to build a national serial data base. It is managed, at the present time, by the Council on Library Resources, with the input facility at the Ohio College Library Center. The Library of Congress, the National Library of Canada, the National Library of Medicine, and the National Agricultural Library are all members, as well as several other large research libraries in this country.

The idea behind the project is the input of bibliographic records for serials from all these institutions. The records will be authenticated by the Library of Congress and the National Library of Canada; the National Library of Canada will be responsible for the authentication of Canadian imprints and the Library of Congress for the authentication of all other imprints. In addition, the ISSN and the key title will be added to the bibliographic records by the Library of Congress or the National Library of Canada. Where ISSN and key titles are already in the record, both these centers will authenticate the ISSN and key title. The records will be housed in the OCLC data base. The authenticated record (i.e., those input or updated by the Library of Congress or the National Library of Canada) will be returned to the Library of Congress and will be made available to subscribers through the MARC Distribution Service. In addition, all CONSER records, including those that have not been authenticated, will be made available by the Library of Congress as a separate distribution service.

To satisfy the requirements of CONSER, and in cooperation with the National Library of Canada, the Council on Library Resources, the abstracting and indexing services, the International Serials Data System (ISDS), and other organizations in this country, the MARC serials format was modified. LC will continue to maintain the MARC serials format and publish addenda as needed. In addition, the Library has provided CONSER training, published a CONSER editing guide, and prepared a terminal operating guide for publication by the Council on Library Resources.

Figure 28. CONSER

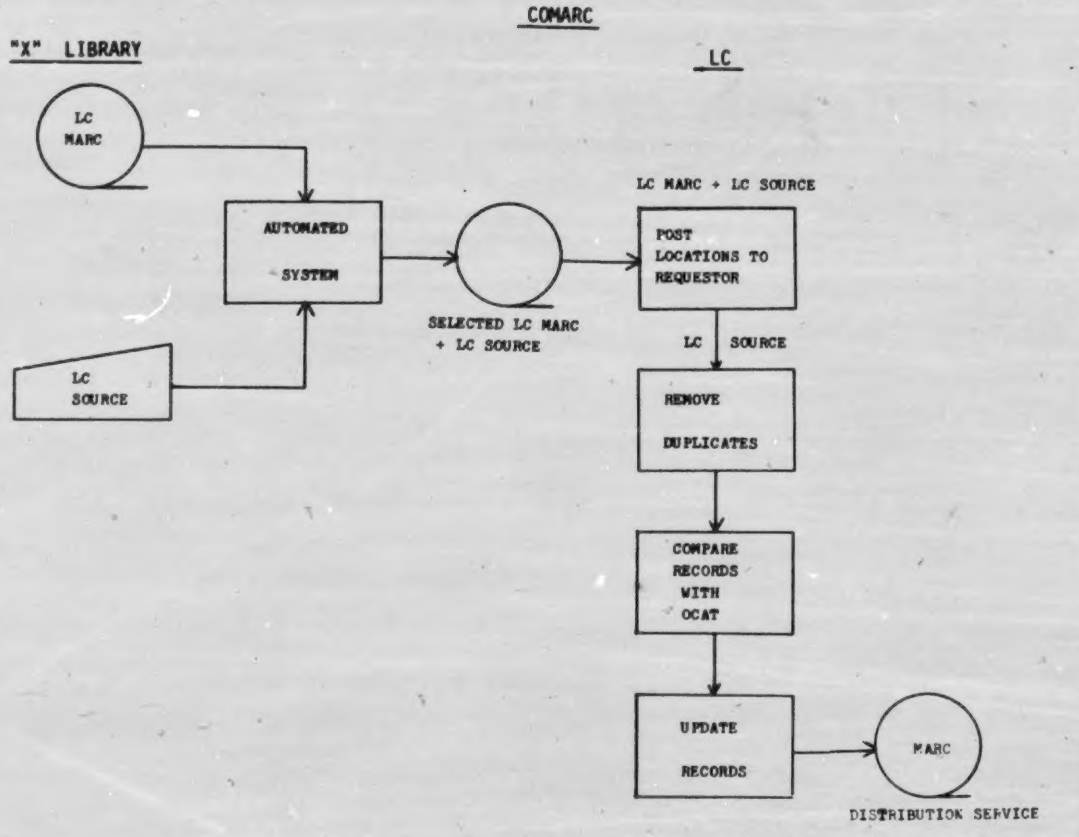
Two-Year Period - 200,000 Records

LC New Records	24,000
MULS	81,000
Other	±95,000

As shown in Figure 28, CONSER is a two-year effort. In the two years we hope to add to the data base the Library of Congress MARC serial records, i.e., new serials cataloged and converted to machine-readable form by LC, totalling about 24,000 records. We will be loading the Minnesota Union List of Serials (I believe that this has already been partially accomplished), consisting of about 80,000 records. It is estimated that the other participants will input approximately 95,000 records. This will mean that in the two-year period the data base will be somewhere in the vicinity of 200,000 records.

It is planned that this project will be returned to the Library of Congress some time in late 1977. We are in the early phases of exploring the requirements to bring the project back to LC.

Figure 29.


COMARC
"X" LIBRARY
LC
LC MARC
AUTOMATED SYSTEM
LC SOURCE
SELECTED LC MARC + LC SOURCE
LC MARC + LC SOURCE
POST LOCATIONS TO REQUESTOR
LC SOURCE
REMOVE DUPLICATES
COMPARE RECORDS WITH OCAT
UPDATE RECORDS
MARC
DISTRIBUTION SERVICE

COMARC is another national project (Figure 29). As I noted before, it is the outgrowth of the meetings sponsored by the Council on Library Resources. When one talks about the sharing of machine-readable records among organizations, many problems become evident, and the more you explore, the more evident the complexity becomes. LC proposed to the Council on Library Resources a pilot project wherein the various institutions that are converting LC source data into machine-readable form send the records back to the Library of Congress where the records will be compared with the Official Catalog, updated when required, and redistributed to the library community through the MARC Distribution Service. As MARC expands, COMARC should diminish, since COMARC covers records cataloged by the Library of Congress, but not included in MARC because 1) the records were either outside the scope of the MARC languages at that time or, 2) the records represent cataloging data from a period before MARC began. Funds were granted and COMARC is underway.

In addition to LC cataloging data (which we call LC source records) converted by another organization, LC MARC records, selected by that organization from the LC MARC tapes for inclusion in its automated system, will be sent back to the Library of Congress. The LC MARC records will be used to post locations to LC's automated Register of Additional Locations. LC source records will also be posted to the Register and then processed to remove duplicate records compared with the Official Catalog and, where necessary, the access points will be updated. The updated records will then be made available at no cost to the pilot participants in COMARC and also through the regular MARC Distribution Service to any organization that is interested.

Figure 30. COMARC

LC Source Records

Criteria for Participation

1) Full Bibliographic Content
2) MARC Format
3) Agreement for LC to Distribute at no charge to LC

Distribution

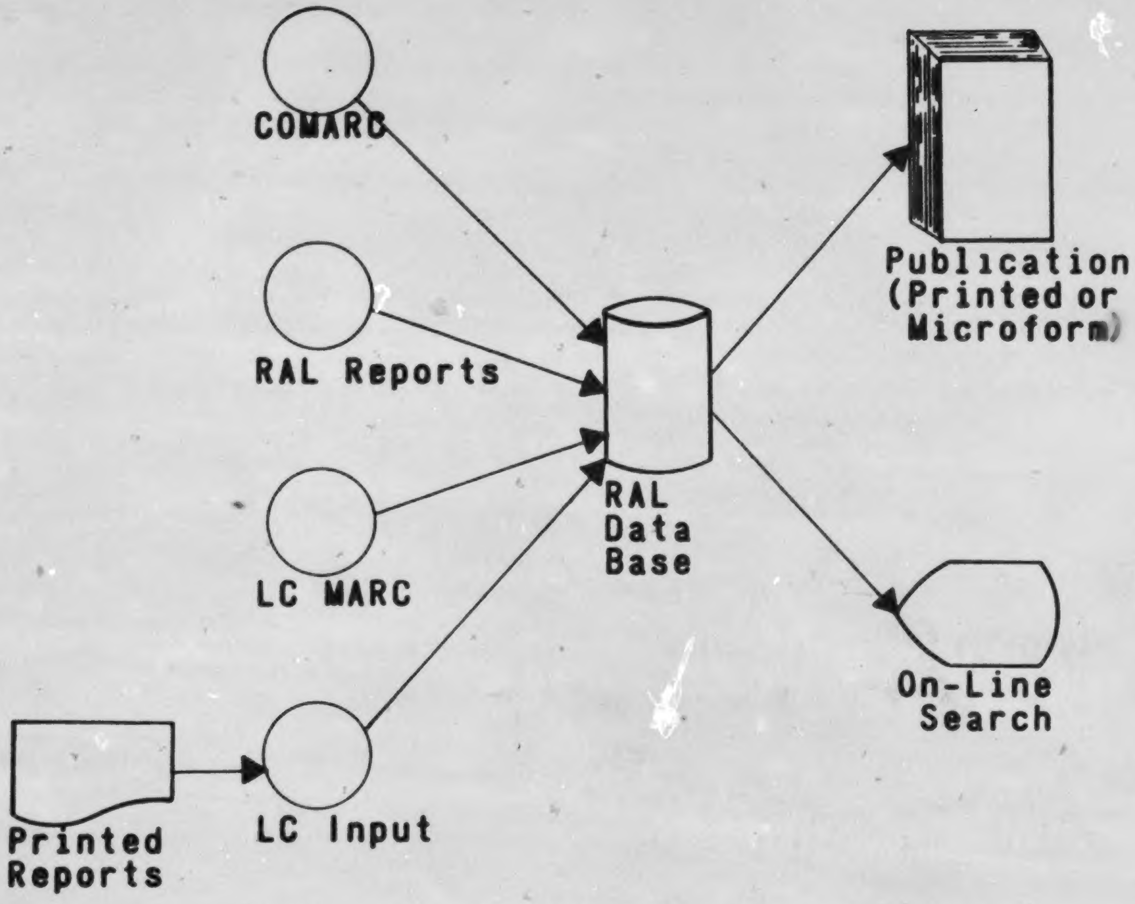
1) At No Cost to Participants during Pilot

2) Also available by subscription to any interested organization

Technical specifications have now been written and distributed to those organizations that have expressed interest in COMARC. Each organization must agree to provide COMARC records to the Library of Congress free of charge (Figure 30) The organizations now participating in COMARC are the Washington State Library, Northwestern University, and Information Dynamics Corporation, and together they will contribute approximately 16,000 COMARC records per year. Yale has also just become a member. Since COMARC is a pilot project, and there was no accurate way to project volume of records available to the project, staff and selected independent of volume. The COMARC cutoff point will be that point where the number of records exceeds the number that can be handled by the number of staff funded by the Council.

The Library has automated the Register of Additional Locations (Figure 31). We now have a data base consisting of titles and locations for titles reported during the period 1968 through 1974, and we are in the process of adding 1975 reports. This voluminous file contains approximately 1,400,000 titles with

Figure 31.


COMARC
RAL Reports
LC MARC
Printed Reports
LC Input
RAL Data Base
Publication (Printed or Microform)
On-Line Search

REGISTER OF ADDITIONAL LOCATIONS

an average of 9.5 locations per title. Some 2,000,000 location reports are added each year.

When the Register system was begun, LC was keying the printed reports received from reporting libraries. The MARC Development Office proposed a pilot project with the New York Public Library wherein New York Public Library would submit to the Library location reports in machine-readable form. This project was initiated, and New York Public Library reports in machine-readable form are now input directly to the Register data base. We hope to expand this to other interested organizations.

The Register file has been made available in printed form. We are now involved with the procedures to make this file available in microform some time in the spring of 1976.

The Register file is used a great deal by the Union Catalog Reference Unit in the Library of Congress, and consequently that file is being made available online in conjunction with the MARC bibliographic file. When a request is made to LC for location information on a title and the LC card number is not known, the MARC file will be searched for the LC card number by author/title or title search key. The LC card number will then be used to enter the Register file for the location information.

Under the COMARC project, LC received funds from the Council on Library Resources to conduct a study to define a format for reporting bibliographic records in machine-readable form to the National Union Catalog. This study was undertaken by David Weisbrod of Yale University. The format is designed for institutions to report titles not cataloged by LC to the national union data base. The reporting format represents full bibliographic content but limited content designation. The format assumes the use of format recognition programs at the Library of Congress to actually tag the records automatically. We hope, under COMARC, to be able to do some experimentation along these lines using LC source records. Much more detailed analysis is still to be done in this area.

Figure 32. INTERNATIONAL MARC

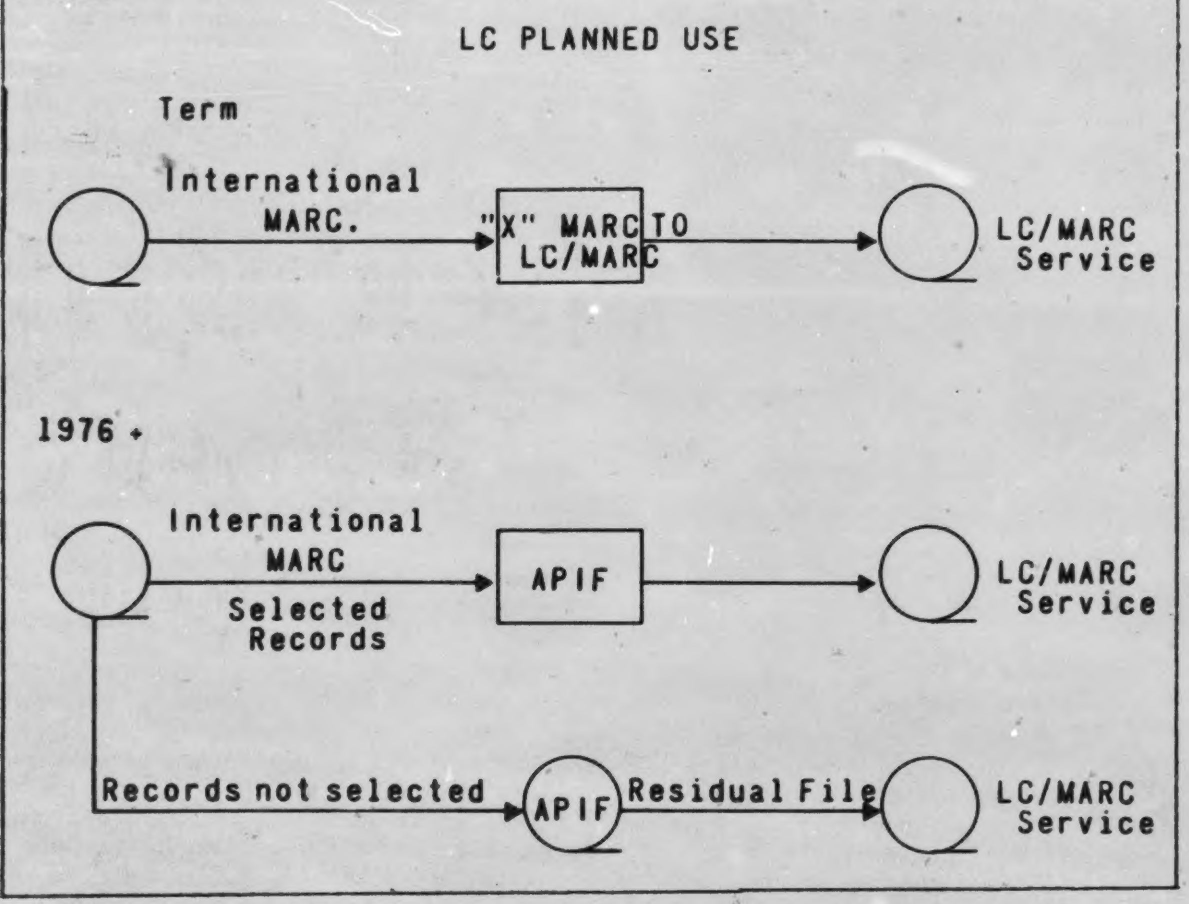
Planned or Operational	Under Study
Australia	Poland
Belgium	Soviet Union
Canada	
Denmark	
France	
Italy	
Japan	
Latin America	
Norway	
South Africa	
Spain	
United Kingdom	

As I indicated before, International MARC is growing very rapidly. We are no longer sure whether the information in Figure 32 is complete. The majority of the MARC projects listed as planned or operational are now operational. There are systems in existence in Australia, Canada, Denmark, France, Italy, Japan, Norway, and the United Kingdom. There may be others also in operation. LC has already entered into an agreement with the National Library of Canada and with the Bibliotheque Nationale, and is presently negotiating with the Australian National Library for the exchange at no cost of the records for imprints of the respective countries.

In the near term, LC will translate these records from the format of each country to a format resembling the Library of Congress MARC format as closely as possible and make the records available through the MARC Distribution Serivice. The reason that we have to do this translation, a tailor-made program for each country's format, is that there does not exist today a true international MARC format. We hope that a year from now there will be such a format. Each national agency will then be able to have one translation program to convert from the international format to the national format and vice versa.

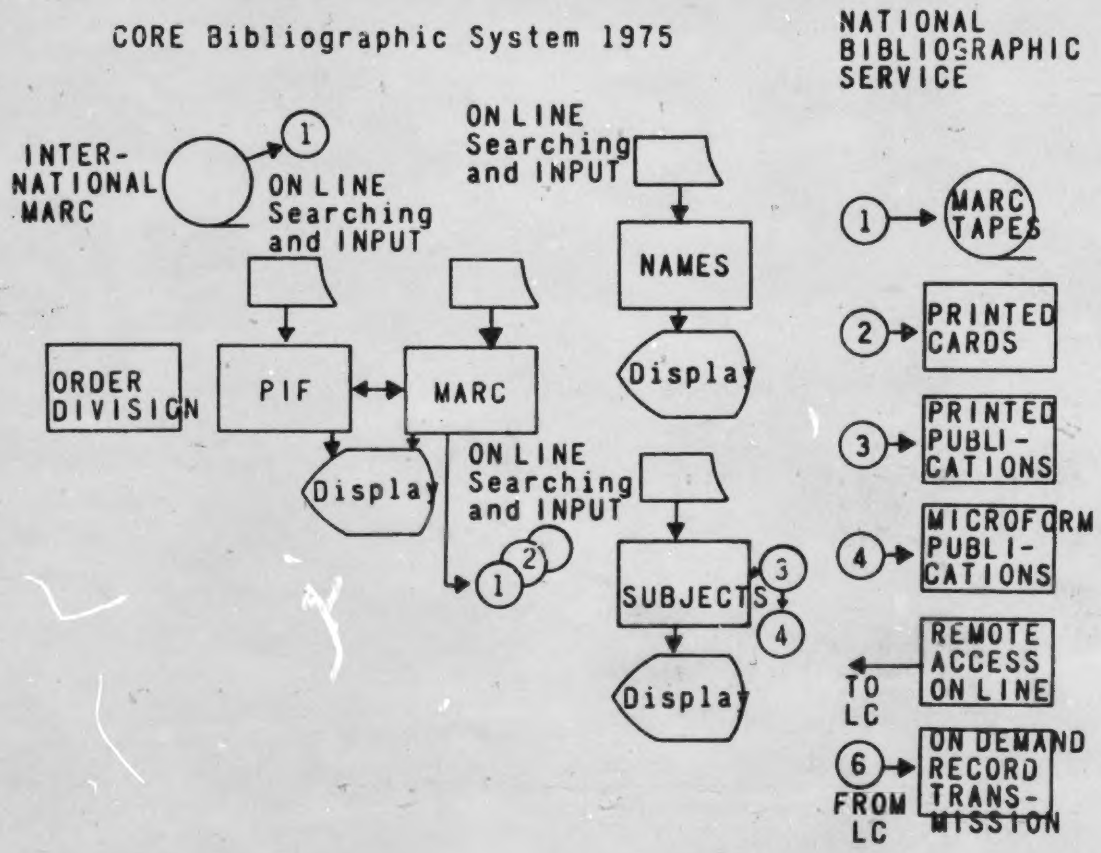
In 1976, it is planned to begin selecting records from the international tapes that the Library of Congress is going to process for inclusion in LC's Automated Process Information File. Those records selected will go through the LC processing stream and be distributed in the MARC Distribution Service as shown in Figure 33.

Figure 33.


LC PLANNED USE
Term
International MARC.
"X" MARC TO LC/MARC
LC/MARC Service
1976 +
International MARC
Selected Records
APIF
LC/MARC Service
Records not selected
APIF
Residual File
LC/MARC Service

The records not selected will also be maintained in machine-readable form and used by the Library of Congress as a residual file in the event that LC later needs to process one of the records. The international records will also be made available through the MARC service.

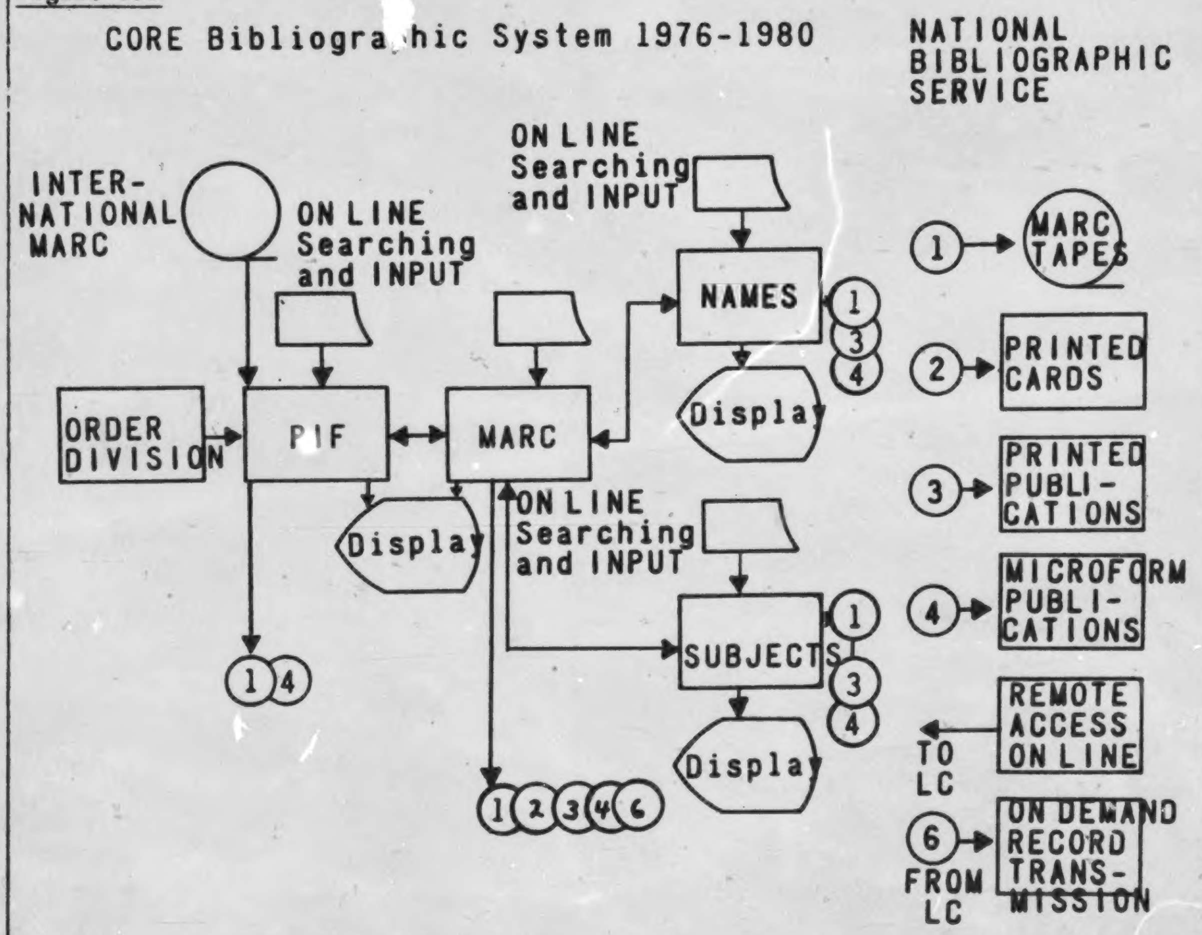
Figure 34.


CORE Bibliographic System 1975
NATIONAL BIBLIOGRAPHIC SERVICE
INTER-NATIONAL MARC
1
ON LINE Searching and INPUT
ON LINE Searching and INPUT
NAMES
Display
ORDER DIVISION
PIF
MARC
Display
ON LINE Searching and INPUT
1
2
SUBJECTS
3
4
Display
1
MARC TAPES
2
PRINTED CARDS
3
PRINTED PUBLI-CATIONS
4
MICROFORM PUBLI-CATIONS
REMOTE ACCESS ON LINE
TO LC
6
FROM LC
ON DEMAND RECORD TRANS-MISSION

Returning now to where Lucia Rather left off, I would like to summarize for you the Core Bibliographic System as it exists in 1975 (Figure 34). Behind all the projects that Lucia talked about, there was a plan, and this figure represents the plan. I said earlier that the function of the Core Bibliographic system is to put information under bibliographic control, and the approach is to build useful modules as we go along.

International MARC tapes are now coming in. The first tape that will be made available for distribution in this country will be the records from the National Library of Canada. The Order Division project is well on its way to completion. The Process Information File data will begin to be input in January 1976. MARC is now available online. We will also, in January, begin the online correction of MARC records. Subject headings are now available in printed form and in microform. We are working on the design of an online authority system.

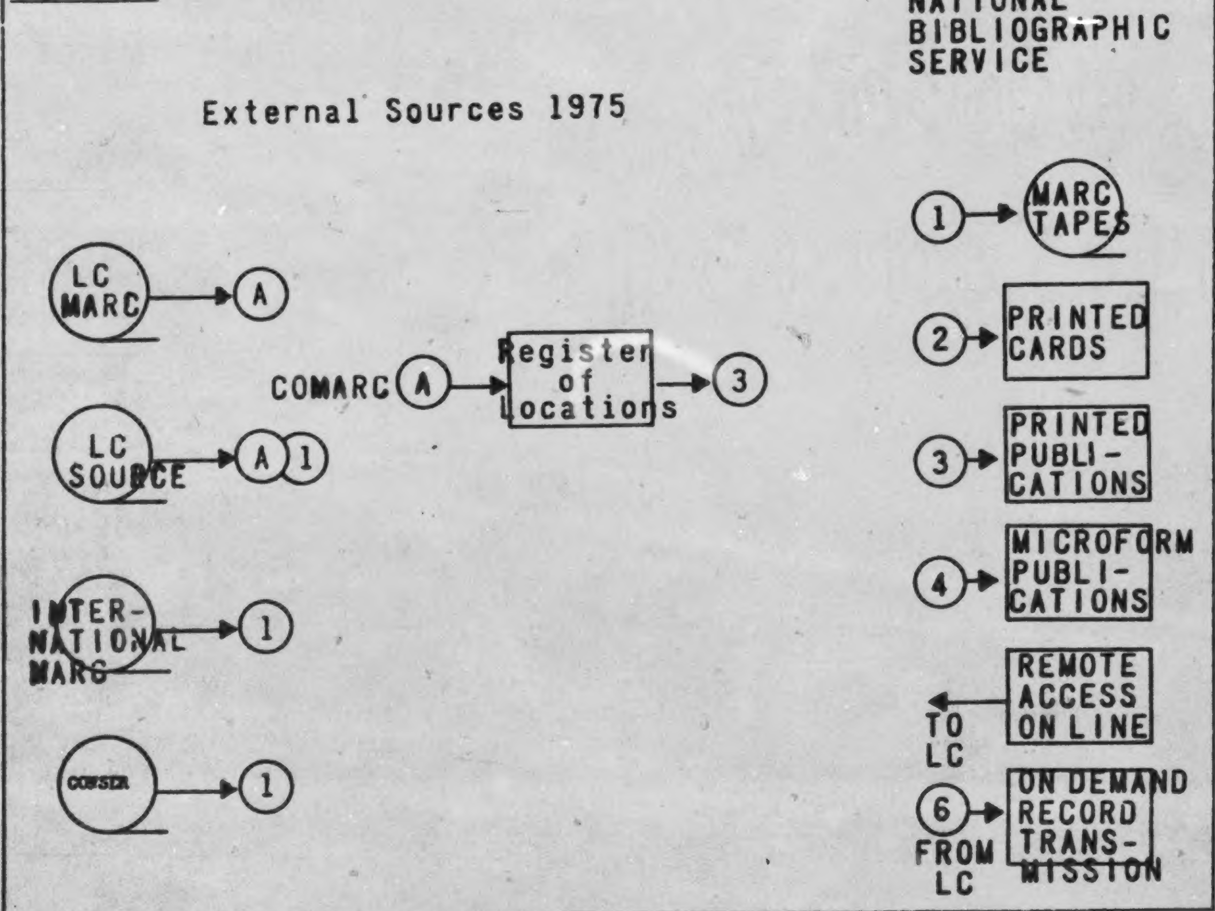
Figure 35.


CORE Bibliographic System 1976-1980
NATIONAL BIBLIOGRAPHIC SERVICE
INTER-NATIONAL MARC
ON LINE Searching and INPUT
ON LINE Searching and INPUT
NAMES
Display
ORDER DIVISION
PIF
MARC
Display
ON LINE Searching and INPUT
SUBJECTS
Display
1 4
1 2 3 4 6
1 3 4
1 3 4
1 MARC TAPES
2 PRINTED CARDS
3 PRINTED PUBLI-CATIONS
4 MICROFORM PUBLI-CATIONS
TO LC
REMOTE ACCESS ON LINE
6 FROM LC
ON DEMAND RECORD TRANS-MISSION

Our plans for the next four years are to begin to line these projects together as shown in Figure 35. Data from the Order Division will flow into the Process Information File. The Process Information File and the MARC file will be linked together. The international records will be fed into the Process Information File. MARC data will continue to be made available as it is now, on tapes and as printed cards. MARC data will be the basis of LC printed publications and microform publications, and our plans include an on-demand record transmission service. Subject headings, in addition to being available in printed microform publications, will also be distributed in machine-readable form beginning in 1976 and name authority data will be made available in a variety of forms at a later date.

Although they do not appear on any of the handouts or transparencies, there are two other projects I wish to describe. The Research Libraries Group has proposed a joint project with LC which is not yet funded. The plan would be for a member of the Group to search the LC MARC data base for a desired record. If the record exists, it will be sent from the LC computer directly to the computer at the New York Public Library. Under this plan, the RLG would not maintain the entire MARC data base. This is the first time, to my knowledge, computer-to-computer transmission has been attempted in the library community, i.e., not for display, but a record transmitted for direct processing from a computer in one site to a computer in another site. Point 6 of Figure 35 refers to this concept of on-demand transmission. It is a very exciting prospect.

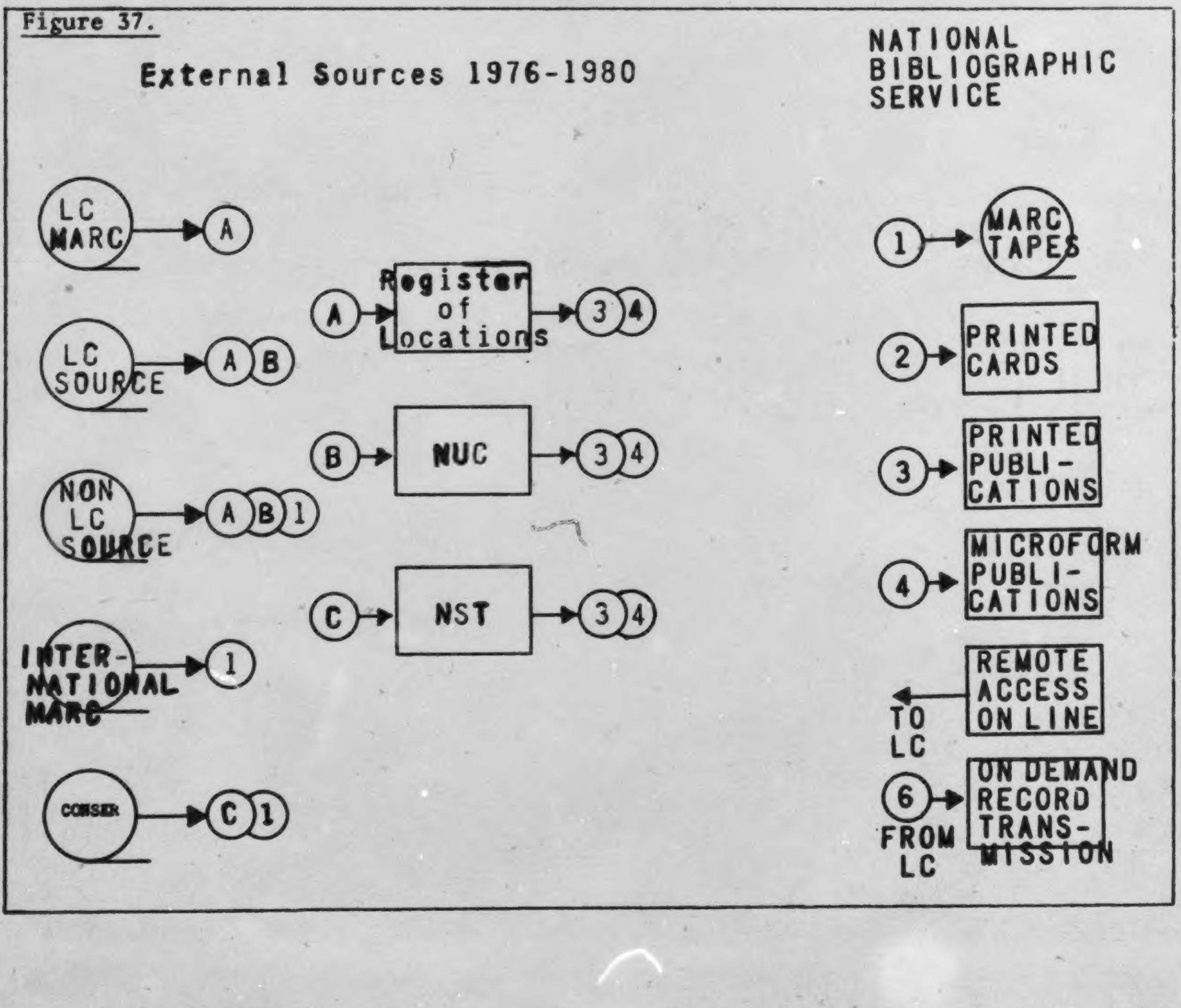
Figure 36.


NATIONAL BIBLIOGRAPHIC SERVICE
External Sources 1975
LC MARC
A
LC SOURCE
A
1
INTERNATIONAL MARC
1
CONSER
1
COMARC
A
Register of Locations
3
1
MARC TAPES
2
PRINTED CARDS
3
PRINTED PUBLICATIONS
4
MICROFORM PUBLICATIONS
REMOTE ACCESS ON LINE
TO LC
6
ON DEMAND RECORD TRANSMISSION
FROM LC

At the same time, the Library of Congress is exploring the use of Tymshare. Several organizations have talked to us about online searching of the MARC data base at LC and we are now exploring using Tymshare to make this service available.

Figure 36 shown external sources. To recap, LC MARC records are being returned to LC for posting to the Register of Additional Locations and the Register is being made available in printed form. LC source records, under COMARC, are also being posted to the Register, and they will be made available through the MARC Service. International tapes are coming in, and they will also be made available through the MARC Service. And, of course, CONSER is imminent, and those records will be made available through the MARC Service.

Figure 37.


External Sources 1976-1980
NATIONAL BIBLIOGRAPHIC SERVICE
LC MARC
A
LC SOURCE
A B
NON LC SOURCE
A B 1
INTER-NATIONAL MARC
1
CONSER
C 1
A
Register of Locations
3 4
B
NUC
3 4
C
NST
3 4
1
MARC TAPES
2
PRINTED CARDS
3
PRINTED PUBLI-CATIONS
4
MICROFORM PUBLI-CATIONS
REMOTE ACCESS ON LINE
TO LC
6
FROM LC
ON DEMAND RECORD TRANS-MISSION

In Figure 37 we see the expansion of these external sources resulting in expanded national services from our machine-based files. The Library has recently submitted a proposal to a foundation to seek funds for a study involving these expanded services. The reporting format, the Register of Additional Locations project, the COMARC project, all taken together, are forming the nucleus of a national union data base in machine-readable form. The concepts are very complex. Following COMARC and the location reporting to the Register, we look to receiving nonLC source documents in machine-readable form. These, of course, will also be added to the Register and the national union data base and made available through the Distribution Service. Likewise, CONSER, in addition to becoming part of the MARC Service, will allow us to produce NST by automated means.

So we see the growth of the external sources. The Core Bibliographic System data and data from external sources, both national and international, taken all together, is what we have defined as the National Bibliographic Service, available in many forms--printed, microform, and online.

As part of all of this, the Library of Congress, under a contract award from the National Commission on Libraries and Information Science, is conducting a study with contractual support to define LC's role in the evolving National Bibliographic Network. The study has just begun, and the results should be very interesting to all of us.

* * * *

TRANSITION TO THE AUTOMATED SYSTEM

John C. Rather
Chief, Technical Processes Research Office
Library of Congress

MR. RATHER: Both Henriette and Lucia were too genteel and ladylike to tell you of the many problems that have to be faced in trying to bring this system into reality. We have bibliographic problems; we have technical problems on the computer side; we have procedural problems in trying to work a new system into a large ongoing operation; we have personnel problems in superabundance; we have political problems, and I will leave you to imagine what the ramifications of those may be. There are times when we are discussing some of the things that we have to do that Henriette and I try to console ourselves with a long-standing joke. We look at each other resignedly and say, "It can't be done." And it is at such moments that I find myself contemplating rather wistfully the pleasures of antiquarian books.

But the fact is that it can be and is being done. The work on the Core Bibliographic System, which will underlie the system that the Library of Congress will eventually use for its own bibliographic control, is proceeding and, though it may seem sometimes from the outside as if the pace is rather slow, I think the very deliberation of the pace is symptomatic of our desire to produce the best possible result.

The Library of Congress has traditionally been under many different pressures. We always have somebody on the outside telling us how we can best do our own work. And, though we try to be responsive to those needs, we still have to ensure the integrity of the internal processing system, which is indeed the core of our national service to libraries in this country. We are concerned with a number of problems as far as the implications of this system are concerned within the Library, primarily how we can best make the transition from the present manual system to the fully automated system that is being developed.

There are a great many other problems that have to be faced. Among them, of course, are the problems of ensuring that the new system preserves all of the essential values of the old system. We have under study or will have under study a number of problem areas. One that is being investigated at the present time relates to the inclusion of records containing nonroman languages in the MARC system. As you know, once you start talking about processing nonroman languages, particularly ideographic languages like the East Asian languages, you run into the character set problems that have been alluded to earlier. There are problems not only of inputting the characters and carrying them in the machine, but also of getting them out of the data base, to display them on CRT terminals, to print them out, or to present them in photocomposed book catalogs. Each one of these tasks presents very definite technical problems but in trying to move ahead we hope that basic values that could be offered by the system will not be postponed indefinitely because we are hung up on some technical problem.

The Library now has a Working Group on Nonroman Languages in MARC. This is an interdepartmental group with representatives from the Reference Department, the Law Library, and the Processing Department. Even so, it is a relatively small group. The members collectively have an intimate and in some cases a native knowledge of the particular nonroman languages that we would like to add to the MARC data base. The kinds of questions we are exploring in this group are basically related to the advantages, if indeed there are advantages, of putting nonroman languages into the MARC system initially in a romanized form. Our feeling is that the expansion of the coverage of the MARC data base should proceed on a systematic basis, even though initially some languages -- Russian, Chinese, Japanese, the Indic languages -- may have to be entered in romanized form.

We recognize that there are definite disadvantages to such a decision. We are aware, however, that the disadvantages vary from language group to language group. One of the things that the working group is addressing is how satisfactory romanized records for particular languages would be in meeting the requirements of four different situations. The first question is: Does the system contain a known item? That is, if I know what I am looking for, will a romanized record answer the question? The second question is: If I have found a work that I know about, can I distinguish among editions from romanized records? The third question is: If I find the works of an author, can I determine what these works are from the romanized records? And the fourth question is: If I am looking under a subject heading and find several records, can I make a further distinction among them by reading the titles?

Those of you who are not familiar with the East Asiatic languages like Chinese and Japanese may find it surprising that even a native speaker of Japanese cannot always read a romanized form. The ambiguities of romanization in the ideographic languages create a real problem. Thus the answer to the fourth question is "Not very well." Indeed you have a progressive deterioration in the responsiveness of the system to each of those four requests.

So we recognize that, in dealing with this problem, we are going to have perhaps a kind of accommodation. Since there are many searches for known items, there is a definite advantage to having the romanized records in the data base even though you cannot answer all of the kinds of questions that you would like to have answered. We would try to resolve those more difficult problems by having some sort of backup file containing cards produced by our present methods.

A second problem of trying to make a transition to an operating situation where we rely completely on the machine data base relates to shelflisting. Shelflisting is now done in relation to the totality of all of the records that we have ever entered into the system. If we come to rely on the MARC data base as the basis for our cataloging, we will have to modify the shelflisting procedures to make that possible. We do not want to be forever tied to having to look in the manual shelflist to determine whether we have arrived at a unique number. Shelflisting is an extremely costly process. It is one that we have to re-examine, simply because it is a form of close classification that currently costs us about $988,000 a year, a tidy sum that merits a little cost analysis.

We need to consider in more detail the nature of book catalogs that we will be producing for the library community, particularly as those book catalogs may come to be a kind of backup device for the system we are developing for use within the Library.

The register/index catalog seems to us to be an approach to catalog organization that would be beneficial. In that form of catalog, only the register contains the full information. There would be several indexes: one for names, one for titles, another for subjects. The information in any index entry would be complete enough to answer most of the questions that are asked in terms of getting at the materials. Those who seek cataloging data for some purpose would, of course, have to look in the register to get the full record. The connecting link would be a register number which would simply be sequential without special meaning. Thus the registers would never have to be restructured or cumulated.

A fourth area of concern is subject control. Mr. Welsh has mentioned that we do not anticipate ourselves being able to undertake a full-scale study of our subject heading system or of our classification system. But we are mindful of the fact that MARC records allow capabilities for subject retrieval that have not previously been available. For example, the geographical area codes in a fixed field contain encapsulated data that can be used to select records in an online retrieval system or in a batch processing system. It seems to us that this capability has definite implications for the nature of subject headings. There is discussion now about the possibility of double input of subject headings in the manual system to allow headings that say "Education-History-Indiana" to appear also in the form of "Indiana-Education-History." In a machine system you can access records through the geographical area code, so it is not necessary to have double input of the character string. The problems of storing indexes to subjects in a large system suggest also that there would be some advantages in examining a subject heading structure with a view to simplifying it for the purposes of computer file organization.

We have decided that, at that point when we begin to rely on the machine data base for current cataloging information, we will have to catalog in relation to that data base, and we cannot undertake to make the headings invariably compatible to those in the old card catalog. The implications of this have to be studied very carefully. We know in an operational sense why it is desirable. We want to be sure that the impact is not a serious one. The whole area of authority files and their continuity and their character in the new system is an important one that must be studied carefully.

Finally, when we decide to close the card catalog, there is the question of the disposition of those catalogs. We will have to decide to what extent we can edit the catalog, in what forms can we afford to publish it, and what relationship that published form should have to the Mansell Catalog and the present book catalogs.

There are a number of factors that will ease the transition to the new system. If we decide to stop filing new cards in the card catalog about 1980 when all current records are going into MARC, we will already have a data base with one and one half million records; a million discrete names will be represented in it as will a couple of hundred thousand subject headings. And so a great deal of our present system will be preserved in the new form. We will not suddenly be cutting it off and turning our backs on it. We will have the advantages of the reference structure to provide the links between the machine data base and the old card catalog.

We have done some studies to examine the character of newly established names. We establish one new name heading for every two books we catalog. According to our studies, a surprisingly large proportion of those names are discrete as far as our present files are concerned, just on the basis of the information provided in the book. A much smaller proportion of the names require research to resolve conflicts than we previously thought.

Frequently when there is mention of closing the card catalogs, there is concern about serials. Plans for the CONSER project indicate that by 1980 there will be well over 200,000 serial records in machine-readable form, and they will be the active serials that one would be concerned about. Some serial like the Brooklyn Chess Chronicle that expired in 1881 can safely repose in the old card catalog without any great loss to the system.

We are implementing the automated system in stages so that we have an opportunity to test and evaluate. We are very much concerned that not only the staff within the Library, but also the library community at large will be able to see the advantages of the course we are following well before it becomes fully operational.

In discussing what lies ahead with people in the Reference Department, you sometimes get the impression that they think some morning they will come in and the drawers of the Public Catalog will be nailed shut and they will be directed to a little TV screen and left to cope as best they can. Well, we intend a much smoother transition than that.

The implications of this new system are quite serious for the Library and for the library community. In the interests of trying to explore those implications, we are trying to maintain as high a profile as possible.

We are interacting with other groups. We have given many presentations such as this. I myself have talked about the future of catalog control at the Library of Congress so often, I feel like Harry Lauder making another farewell appearance.

We have an advisory committee on the future of the LC catalogs drawn from the membership of the technical services directors of large research libraries, and the six members of that group are giving us their reactions to our plans as we are able to formulate them.

We intend to publicize our plans as widely as possible to elicit reactions to them and to be as responsive as we can to those reactions, to the end that we will develop a system that benefits not only the Library of Congress but also the library community at large.

* * * *

Discussion

MR. WELSH: One general observation and then we will go on with the questions. I rise here in defense of something. We have been very critical collectively of the slow progress on CONSER. The progress has been slower than anticipated, but I would like to remind you that when this question of conversion of serials came up, ARL, the Library of Congress, and the Council on Library Resources met to decide upon the management of it. LC said that it could not do it, ARL said that it could not do it, and at that point Fred Cole volunteered to do it. So I think that before we criticize the Council on Library Resources, we ought to give Fred Cole and Larry Livingston a standing ovation for that initiative. Then you can criticize them.

MR. FORTH: I have found these sessions this morning very interesting. Are you all going to try and present this to other people?

MR. WELSH: We have no specific ideas about this. As you know, we have appeared before the RLG group; we have made a presentation to the Council for Computerized Library Networks; we made a proposal to the National Commission which expressed the very thought that you have just stated, that this is something that needs to be done. It is a twofold proposal: 1) we must have sufficient staff so that we can send some staff members out to tell the story, and 2) we must have the resources to bring people in to LC. We realize we should do it. I do not have any specific ideas at the moment. I know the MARC Institutes to some extent cover this.

MR. DE GENNARO: These proceedings are going to be published as part of the minutes of the meeting. At the January 1975 ARL Meeting when we had a program on the future of card catalogs, we published separately the presentations and this was quite successful. Perhaps this program could lend itself to the same treatment; I can not guarantee it. We will have to see how it goes. But it has been very interesting and worthwhile, and we could and probably should do something with it.

MR. HUMPHRY: I have a question relating to the Congressional Research Service and the possibility of accessing the data base that is generated for service. You may know that the New York State Library with a grant from the Council on Library Resources, is studying information services to state government. We have had conversations with the Library of Congress to determine whether it might be possible first to access the general non-confidential information in that data base, to enrich the service that is given to state government through the information that has been developed for CRS, and adapt that information to the state government requests. It could serve as a beginning search. It would not be used without some adaptation and caution.

The other part of the projection is that state governments are asking each other what information has been assembled on certain issues. In the long run it may be another network of state government requests that could be circulated among the state governments, with clearance with the Congressional Research Service.

I would hope that this might be a possibility for the future and another way in which the Library of Congress could serve, with its development of information, those agencies that need not do a lot of preliminary searching.

MR. WELSH: Normally I would say that is a policy question involving the Congressional Research Service, and I should not answer it, but I am not shy. With the caveats that you have attached to that, I think this is the very type of activity we are talking about.

The other half of that, from the processing point of view, is that I believe very firmly that LC should not be responsible for local and state publications. If each state assumed that responsibility, I think we could form a very sound working exchange on that basis.

MR. DE GENNARO: Could you clarify a little bit the RLG/LC connection? I think Henriette Avram said that it was in the state of not being funded yet. How certain is the funding? And how much funding is required? What is the timetable?

MR. WELSH: I think that I would prefer to ask James Skipper to respond to that.

MR. SKIPPER: This is a proposal for a pilot project which is now being formulated. In fact, the committee discussing it met this morning. The proposal is certainly not final; it is not approved by any authority, and it is not funded. The intent of Phase I of the proposal is to determine the economics and the benefits of one mode of access to a national data base. OCLC has already very successfully established a mode of utilizing this information. We are interested in exploring alternatives.

As Henriette Avram said, this will be on a limited basis, starting with NYPL and Columbia, with Yale and Harvard having the option to come in at some future date. It will be purposely a rather primitive communication link in order to hold down costs. We are fully committed to utilizing, adapting, and transferring existing software packages and technology without going into extensive development in this area.

Phase II will involve the more sophisticated technical complications of transmitting data between networks computer-to-computer rather than distributing catalog cards or putting it on a CRT.

MR. SHANK: Why is a COMARC format needed? Why won't the MARC format serve for the transfer of computographic data?

MS. AVRAM: We will be glad to send you the complete technical specifications. We had a very difficult time putting the COMARC rules on paper. We had enough data base formats given to us so that we recognized the variance from the MARC format. To send out such records as given would be very unfair to any recipient; none of their programs would work. It is too long a description to go through at this time, but the principal optional area that we are giving up in COMARC will be in the fixed-field area.

MR. KURTH: I wonder if Henriette Avram would remark on some of the principal criteria or ground rules for being a participant in COMARC.

MS AVRAM: The LC bibliographic source record would have to be converted as is. In other words, the data from top to bottom and left to right. Now there are a few fields in that record where this really is not that important, but principally it is the full bibliographic content.

As far as the tagging and the fixed fields and the remainder of the content designators, the fixed fields are almost all optional. There are some that are required purely for processing, like language. And, of course, we feel that that is an important field. The content designators for the variable fields, the bibliographic data, are just about what the MARC format is at the present time. There are some variations, but they are principally in the area of the fixed fields. If you would like us to, we would be glad to send you a set of specifications. The selection of participants has been done by receiving at LC their particular formats; and also it is a great help to us if we have test tapes that we can run through the system, because the whole idea of COMARC is to use the present software at LC. We could not have had a pilot project that quickly if we had had to write all new programs.

I would like to respond to the first question asked, about whether this presentation would be made again. This presentation will be made again in a great deal more detail by the Library of Congress Processing Department at the ISAD Institute in Washington, D. C. It will be a three-day meeting: two days of this in much greater detail, and then one day for tours at the LC.

MR. BOES: I would like to commend the Library of Congress and the Processing Department for the general direction of its plan. I would like to ask something which may be a little unfair, and that is: Has there been some discussion or movement in the direction of making the Processing Department and the Ohio College Library Center one, for obvious reasons?

MR. WELSH: I think in very, very serious terms that we are one. We view the OCLC as a very important link in the network. It is our position -- and this is a very strong position -- that we want to encourage OCLC to develop an authority system. We want to develop a system to make those authority files available to OCLC so that a consistent decentralized data base can be developed. And I think this should not be viewed as any form of competition. I think we want to cooperate. Just as Mr. Kilgour has been receiving the MARC tapes from the very beginning that form the basis for it, I think he will be receptive to receiving our authority file information, names and subjects, and together we can proceed to develop the national data base in a highly consistent and standardized form.

MR. BOES: I would obviously like to see a national system. That is why I like the general direction of your planning. It seems highly appropriate that OCLC is already moving in the direction of a national system, and this is a statement that the Library of Congress and OCLC should become one.

MR. KURTH: I just wanted to ask if Henriette Avram's concluding remark about this NCLIS study will properly address what Mr. Boes is mentioning.

MR. WELSH: It will. That reminds me that there is much developmental work taking place. I think you got some of the feel for it here this morning. The pace has quickened considerably. I hope that we can find a forum for continuous discussion. I think this is urgently needed, not only with you, but with the entire national and international library community. We are looking forward to the completion of the study that NCLIS has funded, plus some other studies that are under way which I think are going to give us some answers.

With reference to something that Warren Haas mentioned last night, there is a lack of enough planning to do the total job, and we are going to try to do something about that. I think we are much aware of the need for this, and of more communication from you.

For example, when I made the statement this morning about the evolving subject heading system, I was quite aware of how difficult it is going to be for one system to do all things for all people. I am aware that the Fine Arts people at New York Public Library will have some suggestions for improving the system, and, as I said this morning, we will welcome them. The Slavic specialists, and our Ukranian friends especially, have been very vocal on this, and we will try to work with them as well. We welcome this sort of interchange. We have got to be mindful that we are developing a system, though, that is going to meet the needs of everybody, and there are problems associated with that general approach.

MR. McDONALD: I wondered about the timing on CONSER. Is it on schedule? Do you believe that you will get it back into LC by 1977?

MR. WELSH: Yes. Henriette did mention that that was our expectation. It is not on the schedule that we originally conceived for a variety of reasons. The loading of both the MULS and LC file have been slower than planned. But this is a new venture. The management of it, bringing all of these people together to form a collaborative development, has taken a lot more time than anybody conceived. We hope that by November 1977 we will be able to take it back.

MR. GOVAN: I did not quite understand what Mrs. Rather had to say about the method by which the in-process information was to be captured and distributed to other libraries. Would you elaborate on that?

MR. WELSH: I can answer how it will be captured. In due course the Order Division and other records that are generated will be input to the in-process file. I think you have to appreciate that we are acquiring about 6 to 7 million pieces a year. And whereas we conceive that the Order Division's acquisitions, which number about a million pieces, can be input, unsearched, directly through the Order Division's automated system, the remainder will be input only after searching the file. So the Process Information File record, with its author, title and imprint information, begins at that point; it will be enriched at the final stage when subject headings and classification numbers are added. The intermediate record, as well as the final record, can be made available through the MARC Distribution Service, as well as -- and I think Henriette Avram made this point -- the cooperative work that is being done with the National Library of Canada, the Bibliothèque Nationale, and hopefully with the British Library, and with the National Library of Australia, getting those tapes, having them in our system, taking from them what we need to do your cataloging. The items that we do not select can also be distributed through the MARC Distribution Service.

MR. McDONALD: Can you tell us anything about the nature of the cooperation between LC and the A & I services in the creation of the national machine-readable bibliographic data base.

MR. WELSH: At the moment the problems involved in a cooperative effort are in the hands of the advisory group sponsored by NCLIS, NSF and CLR. Good progress has already been made, I believe. Two working groups have been established, one to create a MARC-like format for technical reports, and the other for journal articles. The advisory group is calling upon experts in those particular fields. For example, the chairman of one of the groups is Margaret Park; the chairman of the other group is Ann Curran. Those groups are being staffed by people who are involved in A & I-type activities, and the response has been fairly good so far.

MR. RATHER: Ann Curran's group is working on bibliographic name authority files. It is an interdisciplinary group that is exploring the possibility of having common authority files in both the library sector and the A & I sector.

MR. WELSH: I would like, if I may, to make just one final remark. When John McDonald inquired if there was any possibility of the Processing Department presenting the program that you have had before you for the past two days, I said quickly, yes. We thank ARL for the invitation. And I want you to leave here with some feeling of what this meant to our staff. Each division of the Processing Department came up with an exhibit. At least 51 of you saw those exhibits. The staff was very much involved. They are aware of their clientele, and they were pleased. Thank you.

MR. DE GENNARO: I would like to have the last word here. I would like to thank William Welsh, the Library of Congress, and all the others for the tours that we had yesterday, for the excellent, and I would say, historic presentation today.

I think as Mr. Welsh said, the pace has quickened. It has not only quickened, but it has changed fundamentally. I think we are into a different period now in 1975. I think it is fundamentally different, and I think the pace is going to quicken even more. I am delighted that you all came to speak to us this morning. Thank you very much for that excellent presentation.

* * * *

NEH AND THE NATION'S RESEARCH LIBRARIES

Simone Reagor
Director, Division of Research Grants
National Endowment for the Humanities

MR. DE GENNARO: We are now going to start this part of the program with Dr. Simone Reagor. She is the Director of the National Endowment for the Humanities, Division of Research Grants. She became the Deputy Director of the Research Division in September of 1973 and has been Acting Director since June of 1974. Before joining the Endowment staff in 1970, Dr. Reagor was Assistant Professor of History and Social Science at Eastern Kentucky University. She received the Doctor of Philosophy Degree at Oxford, was a Woodrow Wilson Fellow at Smith College in 1961 and studied under a Marshal Scholarship at Oxford, 1963 to 1966.

* * * *

DR. REAGOR: The National Endowment for the Humanities is a part of the National Foundation on the Arts and Humanities. Foundations, public and private, notoriously like to think they are doing good. We do not like to think that we are simply giving money away in blind response to applications which happen to come in. Whether we are right in this or not, we at the Endowment are making an effort to determine how the funds made available by Congress can best be spent. I, of course, am particularly concerned about how we might best and most appropriately support humanistic scholarship with Federal funds. In the Division of Research Grants we are trying to make ourselves knowledgeable in many areas and in the past year have gone through a period of reorganization and refocusing of our programs.

Margaret Child, Program Officer for the Division's section supporting Centers of Research, attended your spring meeting in Houston. I am delighted to be here today. I have run into several people we already know, which pleases me, not only because it is good to see friends and familiar faces, but also because it makes me feel that we have already gone some way to meeting the people who know most about research libraries. I look forward to a growing acquaintance with you all.

In the material which my office prepared last January in connection with the Endowment's preparation for congressional reauthorization, we made the following statement about libraries:

> In any civilization libraries are a basic component of the educational system, but they are more than that. They are the storehouses of human experience and the depositories for creative works. They hold the resources

> necessary to unlock the past. They are the symbols of a society's pride in its history. They are the material substance of the mind of a nation. Libraries by their nature are a vital element in the humanistic fabric of society.

As I indicated earlier, we have been rethinking the purposes and programs of the Research Division. Our grants tend to be for the most part long-term, collaborative efforts in research in the humanities. More importantly, we now see our first priority to be the development of resources for the purposes of scholarly research. We are also supporting a very large number of projects which involve original, creative research, but most of the programs and some 60 percent of our funds are now going to resource development of one kind or another. This seems to me the most appropriate way to use Congressionally-provided funds for the long-range development of scholarship in the humanities.

From its earliest days the Endowment has been making grants to or concerned with libraries in one way or another, but in the last year we have become particularly concerned with library and archival problems. Indeed, the Endowment as a whole has now established an in-house staff committee on libraries which serves as a channel of communication to coordinate library activities among all the divisions of the Endowment. In keeping with the Division's concern for resource development for scholarship, my office is particularly concerned with the problems of research libraries and archives. These institutions are, after all, the depositories of such resources, and are, therefore, the obvious institutions with which we should be working in connection with a large part of our concern for resource development.

The Division of Research Grants now has two specific programs which make grants relating particularly to libraries and archives. We are also beginning this fall a new line of experimental, invitational grants to a few unaffiliated research libraries. In addition, we have made other sorts of grants which are housed at libraries or which are closely related to library interests. I would like to say a little more about each of these activities.

The two grant-making programs established in our reorganization which are aimed particularly at libraries are located in the Division's section called Centers of Research Programs. This section is under Margaret Child's supervision and it is she who deals with the actual operation of these programs and grants, and that is why she is becoming an increasingly familiar face to many of you. The first of the two programs, in that section of the Division which deals with libraries, is that for support of research collections. Here the Division is making grants designed to assist repositories of all sorts (libraries both public and private, archives, historical societies) to organize, catalog, index, prepare guides to or otherwise make accessible collections of research materials in the humanities. Some of these grants have also provided funds for microfilming, either to bring foreign material for research to this country or to preserve American collections and make them more accessible.

Most of the grants we have made are recent, which reflects the new emphasis in the Division. Many of them are to independent research libraries rather than to university libraries. This reflects the fact that the Independent Research Libraries Association took the initiative in coming to NEH and bringing their problems to our attention. Indeed, it is fair to say that it was through having to look at the problems of independent research libraries that we have found our way into the broader world of research libraries in general. Finally, you will see that a large number of these grants are to libraries and archives focusing on Jewish materials. This reflects the fact that about two and one half years ago the Endowment decided to see what could be done as an experiment by way of making a concerted effort to upgrade the level of materials available for research in one area. The field of Jewish studies was selected. A group of institutions was called together at the Endowment's invitation to work together in trying to create a rationalized program. What has finally resulted after much thinking and rethinking are the grants we have awarded.

The second program line aimed at libraries we call our Systems Program. American libraries are increasingly making use of the computer to gain bibliographic control over their collections. The grants in our Systems Program are designed to assist in the development of this technology as it relates to humanistic research materials. We are, of course, unable to support every institution which wants to automate. Our emphasis instead is on taking a part in the major efforts for automation of bibliographic control that are regional or national. We have really only begun to gain experience here. We have made only three grants that fall in this category: two to the Library of Congress for support of the Cataloging in Publication Program and one for support of the CONSER Program. The third grant is to the New York Public Library to assist them in their work on developing their key automated bibliographical system.

In the current 1976 fiscal year we have $2.6 million in our Division for support of grants for research collections and systems. While this is not enough money to solve all the needs that fit these categories, it is nevertheless a substantial sum, especially when you view it against a past when there was virtually no specific sum of money set aside for these purposes. We have asked for a major increase in these programs for FY 77. We have no assurance, of course, that that increase will be given, but even if no increased funds are made available next year the program will continue to operate at its present funding level, and we expect to continue to make a large number of new grants in both of the areas.

I am sure that you are aware that the Endowment has never been able to, and I think will never be able to, undertake in any significant way to support the general operating costs of any institution whether it is a library, university, museum, or historical society, or any other education-related institution that functions in the area of the humanities. We cannot simply subsidize the operating costs of institutions. We have, however, on a couple of occasions made special grants to libraries for basic research-related costs. The grant with which you are likely to be most familiar is that we made for several years to the New York Public Library. This was a very large challenge grant in which the New York Public Library was required to raise matching funds from outside sources. The purpose of this grant was not only to help the library, which we recognize as one of the key libraries in this country, over a difficult economic time, but also to provide the library with means to build up a broader financial base. That is, through the challenge aspect of this grant the Library was able to increase the number of givers to the general funds of the Library, and that base has continued in fact to increase even after our challenge grant came to an end.

The Division of Research is now undertaking to make a few experimental grants along the lines of the New York Public Library grant to a few of the independent research libraries in this country which serve to strengthen the nation's research resource capabilities in specific areas. At present, we are able to approach this kind of grant making only on an invitational basis, and we have no assurance that it will develop into anything broader. But such grants are designed to meet on a gift and matching basis a significant part of a library's basic costs related to research and to help put the institution on a sounder financial basis for the future by encouraging them to develop new, ongoing sources of income.

We hope to learn a great deal from these few experimental grants, not only about the unusual administrative problems which will certainly be involved in this sort of grant-making, but also about the problems of research libraries. These sorts of grants will take us into the lives and problems of research libraries in very intimate ways. We cannot predict at the moment that these few invitational grants will grow into a broader program, but we do hope that in addition to serving the specific needs of the institutions, we ourselves will be in a much stronger position to talk generally about the needs of research libraries.

In reviewing the projects we have funded you will find we have made grants which in one way or another relate to libraries and archives but do not have to do with central library activities as such, as well as projects which have been sponsored by libraries. These projects may suggest to you other ways in which the Endowment may be helpful to you in the future.

In closing let me comment briefly on the general situation of research libraries as we see it. The Division of Research at the Endowment has neither enough staff, expertise, nor money to be a dominant factor in shaping the future of American research libraries. Nevertheless, NEH and in particular the Division of Research Grants is centrally concerned about the problems of these libraries as they relate to the humanities. Through our programs, we hope to push forward developments in certain directions; we have a firm commitment to institutional cooperation and in the area of computer systems, commitment to networking among institutions.

We intend to continue to cooperate with the leaders of the library community itself and, indeed, do whatever we can to increase cooperation and coordination, both among the private organizations concerned in this area, as well as among the federal agencies which have responsibilities for libraries. Federal agencies and offices are notorious for failing to talk to each other about common interests and problems. We are trying to do something to help overcome that and create at least a dialogue and discussion of what we are doing.

There is clearly a growing sense in many quarters that the problems of our research libraries are serious. In order to solve these problems rationally and effectively, it seems to me it is particularly important that programs, whether they are at the Endowment or at the Library of Congress or at the private foundations or at the Office of Education, complement and reinforce each other rather than overlap and contradict. I would like to underline what Warren Haas said last night, and express the hope that the Library of Congress will take a leadership role in trying to create this kind of coordination and cooperation.

I am particularly happy to be here today, to see those of you I have met before and to meet with you all to tell you something about what we are doing, to learn more about what you are doing, about research libraries and about the activities of this Association.

* * * *

Discussion

MR. HAAS: It might be good just to give some sense of the grant review process and the timetable and so on for everybody's benefit.

DR. REAGOR: I am glad you mentioned that. It is a lengthy process. Let me just say from the start, for those of you who have gone through this agony of applying and those of you who have not yet done it, do not be depressed. Bear with us; we are part of the Federal Government. We do suffer from being a bureaucracy, though we try to be as humanistic as possible. And it is, on the whole, I think, worthwhile for you.

The main thing is to allow plenty of time. We have deadlines about twice a year. The process really should begin through a letter of inquiry or a contact with a member of the staff, to determine whether what you have in mind is really appropriate and really reasonably competitive. We do try to help people avoid wasting their time. After an application comes in, it is sent out to a very large number of specialists who can comment on the importance of the given proposal and on the strength of the design and the abilities of the people involved.

The proposals, along with the comments from reviewers, are then, after a few months, sent to a panel. I believe there are several of you here who have served on one panel or another of ours in the past year or so. These panels would look, for example, at all of the proposals that came in requesting research collections grants, and judge them in competition, one against the other, for the money in that category. The panel, obviously, has its own expertise but takes into serious consideration the comments of all the specialists. Once the panel's recommendations are in, these are passed on with any necessary further comment or observation from the staff to the National Council on the Humanities.

The National Council functions through committees. We have a Committee for Research Grants. This Committee looks at the recommendations which are taken to them. Normally the recommendations of the panel are, for the most part, accepted by the Council Committee. The Council Committee, however, will sometimes make a change, for better or worse, and then the next day the full National Council acts on the report from the Committee and makes its recommendation. And I should say that none of this is final until the Chairman, Ronald Berman, has his cut at it; all decisions are simply not final until the Chairman acts on them after he receives the advice of the Council, which is based on this very lengthy review process.

Then, if you are approved for a grant, begins the long red tape of getting the money, and waiting for letters and checks to arrive, and all of that.

We do encourage you to get in touch with us on the staff in advance of making an application. We would like to hear from you.

There are now also, I believe, special guidelines for the collections program, or there soon will be available special information about how to apply for these grants. Thank you very much.

MR. DE GENNARO: Thank you very much for an excellent presentation. I am very pleased that we asked you to come here. I think that what you have told us just now is really news to many of us. I had no idea, frankly, of the extent and the depth of the interest of the NEH in research libraries, and, I might add, the understanding of research library problems as well. And I think this is very good. We ought to do more of this kind of thing.

* * * *

THE NATIONAL COMMISSION ON LIBRARIES AND INFORMATION SCIENCE

Alphonse Trezza
Executive Director, NCLIS

MR. TREZZA: The last time I had the pleasure of speaking with you, you recall that I reviewed for you the status of the Commission's development of a national program. I indicated to you that we intended to have it finished and accepted and adopted by the Commission by the time of the ALA Convention in June. We met our deadline, as many of you know, and we published our program document (Toward a National Program for Library and Information Services). I am not going to review the document with you. We did some of that the last time we met. I am going to pick out one or two points in it as a basis to start and then show you what we are [illegible] towards implementation.

Developing a plan [illegible] difficult, long and very important problem. But what is more important is its implementation; otherwise, it is just a piece of paper. As I have assured some of you in conversation, the National Commission fully intends to do all that it can to stimulate the implementation. We cannot implement it; you must implement it. All we can do is work with you and try to get you to coordinate with us to make sure its implementation is successful. The National Program Document is, after all, a long range plan which must change constantly as the needs change and as the successes or failures develop. So this program of ours is one which we look forward to revising on a continuous basis as the needs demand it and as we achieve some of our goals.

Let me read from the document just one or two sections, and then give you some examples of how we are implementing the program. You recall that we have five general goals which are very broad. One goal is "to eventually provide every individual in the United States with equal opportunity of access to that part of the total information resource which will satisfy the individual's educational, working, cultural and leisure-time needs and interests, regardless of the individual's location, social or physical condition or level of intellectual achievement." In other words, our goal is for everyone; not for the research community, not for the public library or a school library or a special library or the disadvantaged, but for all of them.

There are two major objectives that will contribute to the fulfillment of our goal. One is "to strengthen, develop or create, where needed, human and material resources which are supportive of the high quality of library and information services," and, secondly, "to join together the library and information facilities in the country through a common pattern of organization, uniform standards, and shared communications to form a nationwide network." In those two elements I have just read, you can see the basic important role of the research library, because you have got to have resources in order to share them, and you have the resources. And what we have to do now is make sure you are willing to share them, and share them in such a way that they inure to your benefit as well as that of other people who have access to them.

The Library of Congress, as we heard this morning and as many have been saying for a long, long time, is a key element in this national resource of ours and this national sharing. And in the Commission's document we actually list a number of responsibilities that the Library of Congress ought to assume in a national program. We state, without equivocation, for example, that LC should be designated as the National Library; not only should it be acting, as it is in many ways, as the National Library, but it should be so designated, without in any way taking away from its present legislative responsibilities and its important role of service to Congress through its Congressional Research Service.

That is a strong recommendation. We talk about the expansion of their lending and lending management function. We did not hear much about that this morning, you see. We talk about their expansion of the coverage of the NPAC program and, of course, about the expansion of MARC, which you heard about this morning, and the distribution of the bibliographic data through online communications, and developing an expanded general reference program. You heard a few comments on that when John Humphry made a remark about the access to the Congressional Research Service.

We talk about the operation of a national serials service, and you recall that was touched on. Also mentioned was the establishment of a technical service center to provide training in the information about LC and its processes. And you remember Mr. Welsh referred to that as a possible grant program in the future. We also recommended the development of improved access to state and local publications, and of course further implementation of national preservation programs. So you see, the Commission's document has spelled out a major role for research libraries, with the Library of Congress as one of its key elements.

Now, what have we been doing in actual developments? Well, as one of the first things the National Commission, with a very meagre budget as many of you know, funded a study with the Library of Congress. It is a study to define the role of the Library of Congress in the evolving national network for libraries and information science services. The project will include, in the near term (five to seven years) the role of the Library of Congress in the evolving national information program, showing in priority order those steps the Library will have to take to perform its role; a summary of the status and plans of the library network system surveyed or statement of the major characteristics; and, based upon the above, an identification of those componenets needed to insure progress in network development; a statement of the role of LC in the national development; a statement of the management requirements for a national bibliographic apparatus to include definitions of those parts to be supplied by LC and the relationship to the efforts of others; a list of bibliographic products and services in a national bibliographic control system; and a description of the National Union Catalog of the future.

In setting this up we asked a number of people to serve on an advisory committee. One of the basic philosophies with which the Commission is operating is that when we have a project or a program and we get an advisory committee, we try to get the strongest, most experienced people we can to serve; we get all the protagonists and put them on the same committee so they can knock heads together and come to some conclusions and decisions, so we can get on with solving the problem. So in trying to do this one, we attempted to think of the people who could fill these various criteria that I have just mentioned. We have received acceptances from Warren Haas, Columbia University; Frederick Kilgour from Ohio College Library Center; Lawrence Livingston from the Council on Library Resources; Maryan Reynolds from the Washington State Library; James Riley from the Federal Library Committee; Samuel Lazerow, formerly from the Library of Congress and now with the Institute for Scientific Information in Philadelphia; William Welsh from the Library of Congress. The Project Director is Henriette Avram, and the Principal Investigator is Lawrence Buckland, who is the President of Inforonics. That is the committee and the staff that is going to undertake the study.

We think this project is significant. We think it will show how we can set up a national system with LC coordinating with OCLC, and Stanford BALLOTS, the State of Washington program, the University of Chicago's program, etc; there are quite a number of them. How do you tie them all together into some kind of a national system? It does not have to be a total system in one physical place; it can be a national system in different places, but coordinated officially as a national system, and not by accident. Hopefully, then, we may get the kind of direction and help in that study to move ahead.

Henriette Avram mentioned to you the National Bibliographic Control Advisory Group, which is a project supported by the Council on Library Resources, the National Science Foundation, and the National Commission on Libraries & Information Science. This group has two working parties at the moment; one is on formats for general articles, and the other is on bibliographic name authority files. The first one is chaired by Margaret Parks, the second one, by Ann Curran.

So there are two activities, then, that we are directly involved in in trying to move ahead with implementing the national network.

Some of you attended a meeting that the Commission sponsored awhile back that was a conference on resources and bibliographic support for a nationwide library program. You recall that we commissioned a study done by Westat on sharing resources through national and regional centers (Resources and Bibliographic Support for a Nationwide Library Program. 1974). Earlier Westat also did a study for ARL, on periodicals (Access to Periodical Resources, a National Plan, by Vernon Palmour 1974).

Those two studies formed the basis of the meeting we had, and as a result of the recommendation of that meeting, we have set up two task forces to start moving towards implementation of some of those recommendations. We have asked a number of people to serve on a task force on national periodical center/centers. We are not, in other words, committing ourselves as to whether it will be one periodical center or a dozen of them; that is a decision we will have to arrive at. The individuals have accepted, so I can tell you their names. We are planning to issue a press release. You will be the first to learn the names.

The members of this task force include:

Arthur Hamlin representing ARL, is Chairman of the ARL Task Force on National Periodical Resources Plan. Warren Haas, because of his role with the Center for Research Libraries; Russell Shank, because of his role with the U.S. Book Exchange; Alice Wilcox, because of her role with MINITEX in Minnesota; Melvin Day, representing the National Agricultural Library; James Wood from the National Federation of Abstracting and Indexing Services; Eugene Garfield from Institute for Scientific Information; Stephen McCarthy, representing the Council on Library Resources; John Humphry from the New York State Library; Robert McClarren from North Suburban Library System, Illinois, representing the public library systems; Richard Boss of Princeton, representing large research libraries; David Weber of Stanford also representing large research libraries; and William Welsh from the Library of Congress. There will also be three NCLIS Commissioners: Andrew Aines, Joseph Becker, and Carlos Cuadra. That task force will start working soon on moving towards a resolution of setting up a national periodical center or centers.

At the moment, I am busy trying to find an individual who could come and work on a regular part-time basis, with the Commission as a staff member. You see, one of the problems we have, of course, is that the Commission's regular staff totals five: myself and a deputy, a secretary, a fiscal agent, and an individual experienced in working with federal agencies. Only two of us have any expertise in the area of library and information science. Obviously, we have to get outside help. So we are trying, then, to get someone to staff the periodical task force - I have got a very good person lined up, if I can work out the bureaucratic details. As Simone Reagor pointed out, we have to live with these things.

The other task force we are working on is on resources other than periodicals. We have not selected our people yet, but they will be of the same calibre and they will represent the same large constituency as the one on serials.

The Commission is also concerned about the national legislative program, and at its meeting on September 25th took a number of actions which will shortly be made public. It adopted a number of resolutions on a variety of areas. One, for example, on LSCA; one on the Office of Education's Office of Library and Learning Resources; another on strengthening state library agencies; one on the Higher Education Act, which I will review with you in a moment; one on the Medical Library Systems Act; one on science technology policy; and one on library photocopying and copyright.

Those of most concern to you are two: one is on the Higher Education Act and the other is on copyright. Re the Higher Education Act: I will not go into all the "Whereas's," because you all know the importance of the program, just let me get to the resolution. Our resolution states:

> The Higher Education Act of 1965 be revised and extended for three years on the following basis: Extend the basic, supplementary and special grant program of HEA Title II, Part A, in its present form and at a minimum level of the 1975 appropriation.
>
> Extend Title VI, Part A, in its present form at the minimum 1975 level of appropriation.
>
> Continue the library training and demonstration programs authorized under Title II, Parts A and B, at a minimum level of the '75 appropriation.
>
> Replace the present HEA Title II, Part C with a new authority to assist research libraries in accordance with the suggestion of the Carnegie Council on Higher Education. This program would strengthen and extend the collective capacity of research libraries to provide the information services needed by the research community, as well as to serve as a national resource to all who need and desire it.
>
> The definition of research libraries would include major university libraries such as the members of ARL, independent research libraries such as Huntington, the Crerar and Folger, and urban public libraries, such as New York Public and Boston Public, which serve as major research centers. The type of institution referred to here is characterized by having collections and services which are broadly based and are recognized as having national significance.

One of the problems we address in our program document concerns preserving, strengthening, and sharing unique national resources. The new Part C of the HEA that we recommend would support that program.

I got into a very interesting discussion a month or so ago at the New York Public Library, visiting with Richard Couper. We discussed the questions: "What is a unique national collection?" "How do you define it?" "What are the criteria?" Let us assume that we can do what we are saying here; how are we going to decide who can participate or who is eligible?

I would think it would be, if you will pardon me, naive if you thought all ARL members qualified: some of my public library friends think that every library in a city of over 100,000 qualifies as a research library. I think this is a naiveté we should all recognize immediately. Having said that, however, I am not prepared to tell you what the criteria will be, because I frankly do not know. I have got ideas.

So one of the things we are going to try to do is to get an individual who is respected in the research library community to do a little study for us, a paper on this very topic, and see whether we can come up with a draft at least, of some criteria which we can then test in the field and hopefully define it in an acceptable form so that when we go to Congress and fight for these programs, we can say "This is what we mean," and when they say "Well, how much is it going to cost," we can give them some kind of a figure.

What is disturbing the federal people right now about the Commission's plan is that there is no price tag on it. They see it as a billion-dollar program. They do not recognize that it is based on existing programs, existing budgets, and existing institutions. So that, then, is an important part of our program and we will do that next.

On copyright, as you well know, the biggest problem is that we have been unable to resolve the difference of opinion between the publishers and the authors and the information industry on the one hand, and the librarians and their users on the other hand. It is a very difficult problem to resolve. Many groups have worked at it. As you know, the National Commission, along with the Register of Copyrights, has tried to work with a group of persons. They have been designated the "Upstairs and Downstairs Groups." These two parties are trying to work towards a resolution of the copyright issue. We have been at it for a year, and we have arrived at just two conclusions at this point. One is that the Commission undertake a study of library photocopying, a definitive, they hope, study with data which cannot be questioned by either side if it is done properly, in order to see what the facts of the situation really are. And secondly, having started the data collection first, then you start to try out a mechanism for the collection of transaction-based royalty payments based on excessive library photocopying. We are not assuming that it is true, but we are saying, if it is true, how would you do it and what would it cost, administratively? Not what would it cost for you and I to pay for the copy now; that is another matter; that is a political problem. But how do you pay -- how does the program work administratively? Will it cost, in other words, $10 or will it cost a nickel?

So these are the two parts of the study. We have had a committee working on what are the parameters of the study. What is happening now is that we have finally cleared away a lot of the problems and within the next month or so we will issue an RFP, and then, we hope, get enough firms to submit proposals. We will select one and, if all goes well, sometime in January, at the very latest February 1st, we will award the contract, and nine months later we will have the results.

The Commission is concerned about what happens between now and then, in view of the fact that Congress is about ready to pass a law. As you all know, Congress passed a law setting up a new national commission on the problems of copyright. And William Dix, as you know, is on that Commission. They call it CONTU, Commission on New Technological Uses.

I will read from a resolution adopted by NCLIS (again I will not go over all the "whereas's" for you):

> Now, therefore, be it resolved that NCLIS suggest to CONTU that it consider requesting Congress to take only interim action on the photocopying issue and a revision of the copyright law until the results of the NCLIS study are available and CONTU has made its report and recommendations on library photocopying.

This does not mean that Congress will not pass this law. It suggests that whatever bill gets passed in the next six or eight months, which seems almost inevitable, Section 107 and 108 be considered interim, not so indicated in the law, but in the committee documentation. The point, of course, is that the NCLIS study and the work of CONTU are supposed to make a contribution to a long-range solution of library photocopying and revision of the copyright law should reflect the recommendations.

I think those are enough examples of the kinds of activities we have been doing in the last four or five months. As you can see, we are going to be moving in a number of areas, and these are just a few. We are in the process of awarding a contract on the effectiveness of federal funding for public libraries; we have got some ideas for developing a task force on the problems of the private sector.

What do we want from you? We need from you your support of our program, our document, and our work. We need your support when legislation time comes. We need your suppport of our ideas. And, more than that, we need your critical evaluation and comment on what we do. We exist for you. We are independent from the Congress and the President, but not from you, our constituents. We are your Commission, and if we do not do the job you want us to do, it is as much your fault as it is ours. Thank you.

* * * *

BUSINESS MEETING

NCLIS National Program Document

MR. DE GENNARO: You may recall at our May meeting in Houston that the timing was such that I think while the NCLIS program document was out, it was just out and there had been no time for it to be distributed and read by the membership.

The Board had seen an earlier version of it, and at that time took a tentative action in support of the NCLIS program document. You will recall we discussed it at the meeting. Mr. Trezza gave a presentation at that time supporting and explaining the document, and I said at the October meeting here in Washington we would bring that matter up again.

The Board at its meeting yesterday discussed the NCLIS document and introduced and passed the following resolution, which I want to read to you:

> The Association of Research Libraries formally endorses the report of the National Commission on Libraries and Information Science entitled Toward a National Program for Library and Information Services. The Association congratulates the Commission for its leadership in providing for the first time in our country's history a plan for coordinating library and information resources and services on a national basis. It recognizes the extent to which the Commission has gone in securing the views not only of librarians, but of all segments of the information community in both the public and private sectors. ARL sees the resulting document as a dynamic and flexible instrument of national policy in the library and information field, now representing the consensus of many groups but open to modification in the future as changing needs may require.
>
> Although the program document identifies many goals for action, it does not attempt to place these in any priority order. Implementing the entire national program will obviously take time; therefore the Association urges prompt action on certain of the goals identified by the Commission. In particular the ARL supports: (1) establishment of a national center or centers for resource sharing and interlibrary lending; (2) the designation of the Library of Congress as the national bibliographic center; (3) provision of federal support for the major research libraries of the country to assist them in their efforts toward improved access, management, organization and development of their collections as national resources.

> The Association of Research Libraries has appreciated the opportunity of assisting the National Commission in the formation of its National Program, and desires to lend it assistance, as appropriate, as the plan is further developed and implemented in the future.

MRS. WHITNEY: I would like to move the adoption of that resolution you have just read. [The motion was seconded. The resolution was adopted by voice vote of the membership].

MR. DE GENNARO: I am delighted that the Association has taken this action. The Board and Officers have been working with the Commission on this problem, and I am delighted that we are warmly in support of the National Commission and its program. I hope that in the future we will be able to give the Commission this continued support and cooperation.

* * * *

Election of New Board Members

MR. DE GENNARO: The next agenda item is the election of officers. I have appointed Ben Bowman and Warren Kuhn to be the tellers. The report of the Nominating Committee states:

> The Nominating Committee has completed its task and reports as follows:
>
> The candidates listed below are presented for election to the ARL Board of Directors:
>
> For the three 3-year terms:

Don Bosseau	Emory
Richard Farley	NAL
Ray Frantz	Virginia
David Laird	Arizona
Joseph Treyz, Jr.	Wisconsin

> For the vacancy caused by William Dix's resignation (for term expiring October 1976):

James Govan	North Carolina
Joseph Jeffs	Georgetown
Richard O'Keeffe	Rice

> Additional nominations may be made from the floor.
>
> Each member may vote for not more than three nominees, except for the election of a successor for an unexpired term.

[After a short interval Mr. De Gennaro announced the results of the election]

MR. DE GENNARO: Elected for three-year terms on the Board are Ray Frantz, Richard Farley, and Joseph Treyz, and for the two-year term, Richard O'Keeffe.

* * * *

Meeting of ARL Commissions

MR. DE GENNARO: I am going to ask Edward Lathem to make a short announcement. This is not a report of the Commission on Organization of Resources of which he is the Chairman, but rather Mr. Lathem came up with a very excellent idea which was discussed at the Board meeting. We are going to have a joint meeting of the commissions, and I would like Mr. Lathem to very briefly tell you about that. This is by way of saying that the commissions are working; they are alive, healthy, and working, even though they are being studied by an Association task force under the chairmanship of Ralph Hopp.

MR. LATHEM: I think perhaps usefully I might begin with a historical footnote, primarily for the benefit of those who are new to the Association. The establishment of commissions within ARL was achieved approximately five years ago as a structural or organizational element. The commissions are five in number, one dealing with access to resources, another with the organization of resources, a third with the development of resources, a fourth commission concerned with library management, and finally a Commission on External Affairs.

Initially all of the committees of the Association were made to relate to and report through these five commissions. Subsequently, for very good reasons this arrangement was altered and the commissions' primary concerns have since then become the monitoring and evaluation of activities and developments in their respective realms, this with a view to insuring that the Association possesses an awareness of matters pertinent to it and is in a position to make program projections based on such awareness.

In part as a result of the pre-meeting roundtable discussions that were held at the Houston meeting, the ARL Board in May decided to study the efficacy of the commission form of organization. This was something that was anticipated, indeed, when the commission system was adopted. As President De Gennaro has indicated, this study is in progress and presumably there will be a report from the committee at the next membership meeting.

In the context of the responsibilities of the commissions having become broader and less operationally specific, there has emerged evidence of overlapping interests and concerns, suggesting, pretty obviously, the need for avoiding conflicts of activity and even more importantly perhaps, the need for being sure things are being attended to.

With this in view, a proposal was made at the Board meeting yesterday that a gathering of all the commissions be convened to be sure that the agenda items that should be focused on by this Association through the commission structure were in fact being addressed.

The Executive Director will be coordinating an agenda for that meeting, which will be held in the second week of December. The commissions themselves will bring forward agenda items,but I think I speak for all of the commissions, and I presume I speak for the Executive Director as well, in saying that we would very genuinely welcome from the membership any expressions of matters that the membership feels need to be looked to by the Association through the instrumentality of the commissions.

* * * *

Report of the Commission on Access to Resources

[The report of this Commission is included as Appendix C of these Minutes].

MR. BOSS: Our President has already expressed concern over turnover rates in ARL. A study of the Access Commission turnover rate reveals that since January the rate has been 67 percent, half of the losses because of time to devote to President-elect duties in a national research library organization and the other half to go fishing off the coast of Maryland. As of this past week, however, the Commission is once again complete, with Leslie Dunlap, Hugh Atkinson, and myself as members.

Our April report which was distributed in May still reflects substantially our progress to date, with the exception that we did have a meeting with the Office of Management Studies to review a data-collection instrument. This instrument will be distributed probably in the month of November to survey how we are coping with the obstacles to access of our own collections. That survey instrument will then be used as the basis for determining what additional work needs to be done by the Association, either by the respective member libraries or by the use of an outside contractor, in order to try to improve the success of our patrons in getting to our own collections. We hope that by next spring's meeting we will have a report to recommend to you as to where the Association might go on this issue.

* * * *

Report of the Executive Director

MR. McDONALD: I would like, first of all, to add my thanks to those that Mr. De Gennaro has expressed to the people from the Library of Congress, and to Warren Haas for their good work in presenting the role of LC to us last night and this morning, and also to express my personal appreciation to Simone Reagor and Alphonse Trezza for their very able presentations this afternoon. I had perhaps more of a role in helping to get the program organized than is normal; so I feel an obligation to express my own thanks. I also am very pleased that Dr. and Mrs. Boorstin could be with us for the evening yesterday and part of the program today.

The membership may remember that, for reasons that are unclear to me, they felt the Executive Director's report ought to come earlier in the business meeting. You are now going to have to pay the penalty for that decision, because you have got me on the floor here earlier than usual. I expect to take the rest of the afternoon with a very lengthy report. I want to say too that the problem of preparing this report is an interesting one. I feel that it needs to be very current and up-to-the-minute; it needs to reflect what has happened in the Board and what has gone on in the meetings. There is, as a consequence, a wealth of information from which to choose, and one does have to try to hit the highlights. For items not covered in this report I hope we can at least get them into the ARL Newsletter.

Let me make a start by talking about a group of matters that might be classed as ARL internal affairs. First of all, I would like to refer to our financial condition, which I am happy to say is good in contrast to most other segments of the economy. When I say it is good, I mean that things are not only in balance, but we are in danger of showing something of a surplus. The Board some time ago expressed the hope that this would not happen with regularity, that the Association would have programs that would use its funds to the fullest and, since we do have a certain reserve upon which to draw, maybe even run a bit in the red so as to give evidence of vitality. But on the basis of the first three quarter returns, we are doing well. We have had an increase in the membership, which has yielded more income than we anticipated. Our sales, royalties, and interest income has been higher than estimated, and our overhead on projects and grants has held very steady. So that while we were estimating income of $234,000, we now see that our income may exceed that.

Our expenditure figures are lower than they were anticipated to be, partly, I think, because we have a position vacancy at the moment and we have not moved to add staff, as I had thought we might do. The Board authorized us to consider and move, if we wished, in the staffing area, and I think our finances would support it, but to date we have not done so. So I think it is mainly in the salary and benefit end that we are making the savings that allow us to show a surplus. But I think we will find ways to correct that. The meeting that Mr. Lathem has just told you about is but one instance of the sorts of things in which we may be engaged very soon that will help us to bring matters into better balance. I also think our commissions are taking a new look at themselves and will be having meetings independently of this joint meeting that Mr. Lathem has referred to.

I would like to say two other things about finances. The Board has approved our extending our retirement program to members of the ARL clerical staff who are not currently covered. We are probably going to be exempt from the law which mandates retirement benefits because we are so small an organization. Still, we wish to do this in any event, to be sure that our employees are receiving a fringe benefit package comparable with those of other organizations in Washington and around Dupont Circle.

I would like to say a word too about the costs of our effort in the copyright area. The Board expressed an interest in this subject when I told them that I felt we were expending well above the levels anticipated, and that proved to be the case. We see no reason for alarm, but I had already taken steps to reduce these expenditures to lower levels, and I think we have the situation well under control. The kinds of services that we secure from one of the finest firms in Washington, Cox, Langford & Brown, do come at a high price, but one that I think the Association would agree is well worth paying.

Let me go on now to say that the financial situation of our two projects, the Office of Management Studies and the Center for Chinese Research Materials, are much as they were when I reported to you in Houston. The OMS funding from the Council is now being used, as is the Mellon grant in support of the Center for Chinese Research Materials. Both these projects are thriving. We anticipate further funding, perhaps from the State Department, for the Center for Chinese Research Materials. Duane Webster and I kid about how he always has his cost recovery meter going, and I think Mr. Webster will find ways to supplement the grant funds from the Council on Library Resources.

I do want to say at this juncture how much I appreciate the energetic and imaginative leadership that Duane is continuing to give to the office, and to recognize the contribution that Jeffrey Gardner and the rest of the staff make there.

I would also now like to say a word about the Center for Chinese Research Materials. P.K. Yu has been with us through this meeting, and I hope many of you who have not met him before have had a chance to do so here. P.K. Yu's work is spectacularly good, and he has recently been recognized for this in a unique way. I would like to share with the membership a tribute that Mr. Yu has recently received. He is about to publish an annotated bibliography of the entire publications of the Center for Chinese Research Materials. The author of the preface to that study is Professor Frederick Mote of Princeton University, who has been a member of our Advisory Committee for the Chinese Center. In his preface Mr. Mote said this:

> From its inception the CCRM has functioned with an Advisory Committee made up of librarians, bibliographers and other research scholars, representing the full spectrum of modern China studies. This body has evaluated each project

proposed by the CCRM, and has transmitted from the field suggestions about categories of materials and subjects particularly in need of exploration. The Advisory Committee was expected to direct the work of the CCRM, and it has done so. At least some of its occasional members such as myself who do not profess expert knowledge of modern China have found themselves receiving an education in bibliography, however, to a greater extent than they provided expertise to the CCRM. Mr. Yu and his associates turned out to be an unmatched reservoir of knowledge about the materials for studying twentieth-century China, at many turns providing guidance somewhat in advance of the field's current reach. Yet at the same time they have fully understood research aims, have been alert to research trends, responsive to expressed needs and positive in acting on advice from the field. The interplay between the CCRM staff and the field, mediated through the Advisory Committee, has been the distinguishing feature of the entire CCRM history. In effect, the Advisory Committee has gradually broadened the mandate of the CCRM, just as the CCRM has broadened the knowledge in the field about the nature of its documentary resources.

There is more in the nature of praise for P.K. Yu and his staff and the Center, but I would like to take this opportunity to acknowledge our appreciation as well.

Also under the heading of ARL internal affairs may I mention our surveys, both the Academic Library Statistics and the Salary Survey. As you know, this coming year the statistics will include figures for nonacademic libraries. We will be interested in your reaction to those.

The Salary Survey has been broadened and strengthened, thanks to Sue Frankie's energy, and, in fact, I should point out that Mrs. Frankie does virtually everything connected with both of these important publications and does an outstanding job of it, approaching the matter not as a routine chore to be accomplished annually but looking constantly for ways to improve these publications. Your input has been helpful to her, and I know she would encourage it further.

As to other ARL publications, I will only say that I am sorry the Newsletter has not come out more frequently. I think we would like to have done that, but we have not been able to manage it. However, I hope that some of the other publications we have produced have helped to make up for that. The Future of the Card Catalog has been a bestseller. I have no doubt that if we are able to get out as a separate publication this morning's program, that will do pretty well too.

I turn now briefly to the work of the commissions and committees. I think it is highly appropriate that the Board should have called for this joint meeting of the commissions. When the commissions were set up there was this intention, and somehow we have lost sight of it. We have had joint meetings once or twice, but not as often as we ought to have. Edward Lathem has kind of gently prodded us to do it in the past and at last we have listened to him; I think it is very good advice we are heeding.

As far as ARL committees are concerned, the Federal Relations Committee has been at work under the chairmanship of Gene Kennedy, and we have been working closely with them. You heard in Mr. Trezza's report information about the new language that has been inserted into Title II-C, which formerly served the needs of Shared Cataloging and NPAC. Since that is now included in the LC budget, we in a sense have an opportunity to use that title for other purposes. The language Mr. Trezza read to you was language that was worked out in cooperation with us. I must say, as he did, that it is a vast improvement over language that was worked out elsewhere, and I hope that we can adhere to the kind of definition of research libraries that Mr. Trezza read to us, and that I think we in this Associaton subscribe to.

The Interlibrary Loan Committee under David Weber is, as always, active, and is considering a number of things and will be advising the Board on the matter of our SILC II study, as we sometimes call it, that is in to the National Science Foundation. I will be interested to know whether the Committee is also dealing with the matter of charging for interlibrary loans. I am sure you are all aware that Yale University has sent a letter to libraries that have been borrowing from it expressing their intention to charge for interlibrary loans as of January 1, 1976.

Page Ackerman chairs a committee to study our membership criteria to make sure that they are as they should be, not unduly restrictive or permissive. The Board awaits a report from that important committee. A similar committee which is dealing with the admission requirements for nonuniversity libraries under William Budington's chairmanship obviously impacts with the committee that Ms. Ackerman chairs, and I understand they had a joint meeting this morning.

The commission structure, as Mr. Lathem has already told you, is being examined by a committee chaired by Ralph Hopp. Your President has taken steps to have our posture with respect to preservation examined, and David Stam of Johns Hopkins has agreed to be a one-person committee for the moment to assess our situation, to look at the various reports that have been generated and to see what advice he might be able to give us on where we go next. The Committee on Access to Manuscripts and Rare Books chaired by Ray Frantz has done good work in the past. You heard from Mr. Frantz in Houston, and we have a number of matters that I think may call for further work from that Committee. As always, the Foreign Newspaper Microfilm Committee under John Lorenz has been active and has produced reports which have been distributed to you. That is a very quick summary of current committee action. It is not necessarily exhaustive. I think if you have questions, they are best put to the chairpeople whose names I have mentioned.

As for the Board of Directors, it took a number of actions at its meetings Tuesday night and all day Wednesday, some of which I would like to share with you. I believe Mr. De Gennaro may refer in his report to a new joint committee which the Board approved, a committee involving the ARL and the Center for Research Libraries. I think I will leave that to Mr. De Gennaro to discuss.

As you know, we endorsed in the Board the NCLIS program document, and I am pleased that the membership took action on that resolution today. Mr. Trezza has been waiting for quite a while for us to do this and I am glad that it has happened.

The Board authorized the establishment of a new Joint ARL/ACRL Committee on University Library Standards. This follows up on actions that we took in Houston with respect to the report that Robert Downs and his committee produced. The Board also discussed the status of the SILC II proposal that I alluded to a moment ago. It authorized me to take formal action to ask the NSF, Office of Science Information Service, for time to reconsider the ARL's posture with respect to that proposal. A number of events have occurred since the proposal was submitted that suggest that some stocktaking would be in order. I talked with Dr. Weiss at OSIS informally, and he was gracious, as always, in providing time for us to discuss this within the Board. Basically the Board needs to consider three possible actions: (1) reaffirming the proposal in its present form and urging NSF to fund it as promptly as possible; (2) withdrawing the proposal altogether, with the understanding that there is no commitment expected but with the right, obviously, for us to resubmit if we found a way to do so; (3) temporarily withdrawing the proposal to allow time to restudy it, revise it if necessary, and as appropriate, and resubmit it, no doubt on a schedule to be worked out in cooperation with the OSIS. But for the moment, we do mean to ask formally for a little more time to determine what the Association's position should be with respect to the proposal. I think I will not at this moment try to recite the factors that prompted the Executive Committee and the Board to seek this delay. But it is information that Mr. De Gennaro or I or any member of the Board would gladly share with you.

Let me turn now to what might be called external affairs and give you a very brief summary of some of the kinds of activities that the staff and myself in particular have been involved in in your behalf.

I represented the Association at the IFLA meeting in Oslo this summer. That is certainly a difficult duty which I am sure you all are sorry I had to bear. Actually the IFLA meeting was pretty much on procedural matters. IFLA, like every organization, eventually gets around to trying to reorganize and redraft its statutes. The meeting was not terribly substantive from a professional point of view, although it was still interesting. We are trying to fashion a position for the U.S. delegation to IFLA. There were some professional meetings, and I was elected to the Standing Advisory Committee of the National and University Libraries Section of IFLA.

The ARL has joined the Center for Research Libraries in its new membership category. This was an action that was authorized by the Board and has been carried out, although as yet I guess we have not been represented at any CRL function.

As you may gather, I have been working as closely as I can with the National Commission on Libraries and Information Science. I happen to be an old acquaintance of Mr. Trezza and he and I, I think, can work effectively together. I have appreciated the opportunities that he has afforded to have input to the Commission.

I represented the Association at a meeting of the Federal Council on the Arts and Humanities. This is a group chaired by Dr. Ronald Berman (NEH) at the moment, and it involves the heads of a number of federal agencies in Washington, such as the National Endowment for the Humanities, National Endowment for the Arts, The Smithsonian Institution, National Science Foundation; the Librarian of Congress is a member, a representative from the State Department, from the General Services Administration, the Director of the National Gallery of Art. I no doubt have missed two or three, but, as you can see, it is a group of considerable eminence and influence. I was delighted to be invited to appear there, along with Frederick Burkhardt and Alphonse Trezza, representing the National Commission, to bring to the Federal Council something of the world of libraries. I think it is fair to say that that invitation was no accident. Simone Reagor and Ronald Berman are interested in libraries, and I think it is because of their presence in NEH that this invitation was extended. I will not try to tell you what was said there, but I will be glad to discuss that with anyone who is curious. Mssrs. Burkhardt and Trezza did a good tandem, and I think that there was an interesting balance in the presentations inasmuch as they were covering the whole realm of libraries and I was emphasizing the kinds of libraries represented in this Association. I think we complemented one another reasonably well.

Mr. Trezza, William Dix and a few others were members of a larger group that met at the White House not long ago to talk about libraries. Mr. Trezza, Robert Wedgeworth, Dan Lacey, Dick Hayes and a representative of the President's Domestic Council were represented on a panel which talked about libraries. It is hard to assess the significance of an opportunity such as that, but I think most of the people there came away with the feeling that something had been accomplished, and that we just might be able to get messages into the White House in the future. Mr. Trezza is probably more closely in tune with subsequent developments there than I and would, I am sure, be glad to talk to any of you who are curious about that. At that meeting there was a good deal said there about the necessity to fund the White House Conference on Libraries. Although the authorization for the conference has passed, there has been no funding so far. It did appear that people heard this and that something might flow from the dialogue that took place at that time.

That leads me into a portion of the report which might be described as the legislative front. As far as higher education legislation and the library titles are concerned, Mr. Trezza covered that quite well in his report, and I have already expressed my appreciation to him for the kind of language which is in his version of Title II-C.

Let me come now to a quick update on the copyright situation while we are talking legislative matters. I have shared with all members of the Association the exchange of correspondence that took place between Senator McClellan and me. Some of you have been kind enough to say that this adequately represents your own views. For my part, I have appreciated the letters that many of you have written to the committees and shared with us by carbon copy, because they helped immeasurably to get that communication together and into Senator McClellan's hands. While it did not affect the course of the copyright revision bill in the Senate committees, it did attract the attention of Senators and may yet serve us well if the House version of the bill differs significantly from the Senate version of the bill, because in that event there will be a conference committee and new language for some of the sections may be forthcoming.

Senator Edward Kennedy's office apparently did read the letter that I wrote. They invited me to the office to give them more information about the libraries' side of the issue. The basis for this was not necessarily what we would like to hear, inasmuch as they said they had had reams of letters from authors and publishers and had not heard very much from the librarians. I explained to them that we had intentionally devoted our energies to the House side, since the Senate had seen fit to report out a bill with language in it on which we had had no opportunity in public hearing to contest, and they recognized that that was a legitimate complaint. Our forces are not vast and I think we made the right decision to concentrate on the committee chaired by Robert Kastenmeier. I do believe that the letters you wrote and the statements that we have filed have received a fair hearing, and that there is reason to believe that some alteration in the sections that we oppose will take place, and that some accommodation may be found in the two versions of the bill.

As Mr. Trezza has told you and as others can say, there is more to this than simply the two committees. Mr. Trezza has reported on the actions of the National Commission in mounting the study of library photocopying. He has given you some information on the first meeting of the Commission on New Technological Uses, on which William Dix serves. I do think that there are forces at work. The fact that we are coming down to the wire on legislation is having an effect on all of us. I think that we are seeing that we do need to work even harder than we have to find some common ground, if any exists, and I do believe that that is taking place. It is very hard to express these things in any kind of detail, so you will forgive me if there is a certain vagueness to what I say. Again, I would be happy to try to go further with anyone who wants to press me later.

I should only add that from the point of view of ARL staff time, I am involved in almost all of these matters having to do with copyright, from the Conference on the Resolution of Copyright Issues which has been convened by the National Commission and the Register of Copyrights to the working groups of that Conference, to subcommittees of the working group of that Conference, and on and on. And our investment in copyright is not simply what we pay the lawyers, but I am afraid the rather high percentage of my time which goes to these issues in what I consider to be the great tradition of Stephen McCarthy.

I think that pretty much concludes my summary, and I think it fulfills my prophecy that in giving me an early start on this, you were going to get more than you wanted. I want only to conclude by saying that it has been a full year, a very interesting year and a demanding one, but a good one for the Association, I think. You are a better judge of that than I.

I have enjoyed working with the Board and the officers, with old hand Ralph Hopp and new hand Virginia Whitney and cool hand Richard De Gennaro. I have already expressed my admiration for the work of Duane Webster and P.K. Yu. I just want to add my thanks to Sue Frankie.

* * * *

Report of the President

MR. DE GENNARO: John McDonald is a hard act to follow when it comes to annual reports. He has given you a report of all the substantive affairs of the Association. What I am going to do now is just take a few minutes and give you something of an annual report from the President's point of view.

The guiding theme that I selected for my year as your president was national trends and developments--ARL's influence on them and their influence on ARL. As I said in my interim report at the May meeting, the programs at the two meetings for which I was responsible were carefully selected to call attention to and have an impact on certain issues of national scope and importance.

The January 1975 program meeting was devoted to the future of card catalogs. The subject was so timely and the program so outstanding that ARL published the proceedings as a separate and offered it for sale at $3.00 a copy. The first edition of 800 copies has been sold out; it has been reprinted and demand continues. Closing card catalogs will be an important issue for libraries and for library conference programs and workshops, and we can take some satisfaction in the fact that the issue was aired first at an ARL meeting.

The theme of the May meeting in Houston was "National Perspectives for ARL Libraries." One program element featured the subject of scholarly communications and the very live issue of the relations between publishers, scholars, and librarians. Acting as an individual and not as your president, I wrote an article for Library Journal and an opinion piece for American Libraries as contributions to the discussion of these issues. A second element was a program on NCLIS with a presentation by Alphonse Trezza and reactions by Ralph Hopp and William Dix. The NCLIS report and ARL's view of it was one of the dominant issues during this past year. Your officers and Board played a key role in trying to shape the earlier drafts of the NCLIS program document so that it would better reflect what we perceived to be the interests, not only of ARL members, but library and information interests generally. In May the Board gave tentative support for the document when it voted to present the final edition to the membership for approval at this meeting. Earlier this afternoon, we heard Alphonse Trezza speak about the work of NCLIS and the report, and we voted overwhelmingly to approve and support it in principle.

A third program element in May was designed to identify and focus attention on what I believe will be one of the most critical issues of the next five years for research libraries--the sharing of resources, particularly periodical resources, through a National Library Resources Center and other systems. We heard presentations from Basil Stuart-Stubbs, Vernon Palmour, and from Arthur Hamlin. Arthur also spoke for the Task Force on a National Periodical Resources Plan at the business meeting.

The furtherance of resource sharing in general and the creation of a National Library Resources Center in particular has been the issue which has most profoundly engaged my interest as your president and as a librarian, and I believe the other officers and Board members shared that interest. I urge our successors to continue to assign this goal the highest and most urgent priority for ARL in the years ahead. The creation of a NLRC is our best hope for relief in the long and difficult period of austerity that lies ahead for research libraries and indeed, all libraries.

At the meeting on the NCLIS program that was held in April at the L'Enfant Plaza Hotel, the ARL contingent worked hard and successfully, we believe, to convince the NCLIS that the creation of a NPRC was of crucial importance and to assign it a high priority in its program and plans. NCLIS has just appointed a committee to study the feasibility of creating a NPRC. ARL is represented by Warren Haas, and Arthur Hamlin and Russell Shank.

The Boards of ARL and the Center for Research Libraries following up on the recommendation of the ARL Task Force on a NPRC, voted recently to form a joint task force to explore the various problems involved in creating such a center, including the feasibility of CRL expanding its capability to assume this function. It is chaired by Robert Wessel, who is also chairman of the CRL planning group. This Task Force was not created in competition or conflict with the NCLIS effort, but rather to help push the matter to an earlier resolution. Again, acting as an individual rather than as your president, I wrote an article for Library Journal to call attention to the desperate need that research libraries have for such a center. I will continue to do everything I can to move this excellent idea forward toward a successful conclusion.

Returning to the relation of recent programs to this year's theme of national perspectives for ARL, I would like to point to this morning's excellent program on the automation of LC bibliographic activities and its effect on ARL libraries as another element in that structure. The Executive Director's continuing concern with the copyright issue on behalf of the Association is another case in point.

In addition to these special national concerns, I would like to think that we also tried to pay the required attention to the normal on-going activities of the Association. For example, we made numerous appointments to committees, commissions, and task forces. The Association made significant progress with the important but difficult problem of university library standards, thanks to Robert Downs and the members of his committee. At yesterday's meeting the Board voted to form a joint committee with ACRL. The membership approved the two statements that were put forward by Ray Frantz for the Committee on Access to Manuscripts and Rare Books at the May meeting. One was entitled "Access to Original Materials in Libraries, Archives and Manuscript Repositories", and the other was entitled "Reproduction of Manuscripts and Archives for Non-Commercial Purposes". We established a Task Force on Criteria for University Library Membership in ARL under the chairmanship of William Buddington, and a Task Force to Study the ARL Commission Structure under the chairmanship of Ralph Hopp. A subcommittee of the Board under Page Ackerman is reviewing the admission criteria for new members. The Center for Chinese Research Materials is thriving, as is the Office of Management Studies.

Up to a few weeks ago, it seemed to me that the affairs of the Association were in excellent order and that the new Executive Director, John McDonald, had the situation well in hand after less than one year in office, and that the future was assured. But alas, as many of you have heard by now, John McDonald has officially and formally expressed his wish to leave the Executive Director's position by the end of June 1976. This he does for personal reasons, and he intends to return to his position at the University of Connecticut. Although I respect John's reasons, I cannot hide my disappointment at this turn of events, because all through the year as I worked with John my respect and admiration for him and his handling of this difficult and demanding job increased with every contact. I was sure that through some fortunate stroke of luck or genius the Association had found in him the perfect successor to Stephen McCarthy. Even during his brief tenure, John has made and will continue to make a significant contribution to the Association. His presence here in Washington has been felt.

Virginia Whitney and I have been organizing during this meeting a search committee. I have several members who have already agreed to serve. As soon as we have the list complete, we will announce it to you, and we mean to charge the search committee to begin immediately with the very difficult task of finding a successor to John.

I feel privileged to have served with John during my year as President and I want to thank him for the expert assistance he so generously gave me and for the friendship which we formed while working together. I consider that friendship to be one of the most significant personal rewards for my year as President.

I also want to thank Sue Frankie for her assistance to me during my term, and to express my admiration and appreciation for the excellent and largely unsung work she is doing for the Association.

Ever since I have been coming to these meetings, it has been customary for outgoing presidents to conolude their final report with an expression of thanks for the honor and privilege of serving the Association as its president. My predecessors have without exception said, that although it was a difficult and time-consuming assignment, the personal growth and satisfactions that it afforded more than compensated for any passing inconveniences. I can now tell you with the conviction that comes from personal experience that they were really telling the truth. I have had enthusiastic responses from all of you that I turned to for help, from the Board and from the officers and staff, and I am very grateful for the opportunity I had to serve as your president.

I am also thankful that my time is up and that all that remains is for me to turn the office and the chair over to my able and charming successor, Virginia Whitney.

* * * *

MS. WHITNEY: The most difficult part of this job, I am convinced, is taking over. To try and follow my very worthy predecessor is a most difficult task.

It has been a long day and I think that, except to express my thanks, both to those people who put on the program and to my colleagues, I would like to just mention a couple of things which already have been mentioned before. To the new members of the Board, there will be coffee at 8:45 a.m. and the Board meeting begins at 9:00 a.m. in the Ohio Room on the second floor. We will be looking for you tomorrow morning.

In addition to that, I just have to ask you all for your support during the coming year and to ask you if there is any new business to bring before this meeting. If not, I declare the Eighty-seventh Membership Meeting adjourned.

* * * *

APPENDIX A

REPORT OF THE COMMISSION ON DEVELOPMENT OF RESOURCES

The Commission has held one extended meeting in the last six months, at Houston on 8 May 1975, and a number of matters pertinent to its charge were discussed.

First among these was the unfortunate provisions of the Internal Revenue Code of 1954, sections 170 (e) and 1221, restricting deductions for gifts of personal papers or other interest in copyright, etc. It was decided that an investigation should be undertaken to determine if now some changes could be effected. Inquiries led to the fact that Senator Javits of New York has introduced S.1435, and Rep. Brademas of Indiana, HR 6057, to provide relief from these restrictions. Inquiries have been made to determine whether there is any way ARL can assist in moving this legislation.

The Commission discussed further the development of a national periodical lending center and took the position that this project should be given all possible ARL support. Subsequent developments have seemed satisfactory.

The Commission viewed the NPAC program as one of paramount importance to the development of our national resources and felt that ARL should know of any problems in this regard. John Lorenz has informed the Commission that the program is proceeding well; its benefits are apparently well understood by the Congress and no concern need be felt for the present.

Page Ackerman
Basil Stuart-Stubbs
Gustave A. Harrer, Chairman

September 11, 1975

* * * *

APPENDIX B

REPORT OF THE COMMISSION ON ORGANIZATION OF RESOURCES

The concern of this ARL Commission centers upon its charge to monitor and evaluate activity and developments relating to "means of improving and extending bibliographical control of research library materials, including methods of ordering and processing these materials to ensure the greatest compatibility of form, economy of staff effort and institutional expenditures, and usefulness to readers."

The Commission's deliberations in 1975 have been made to relate closely to and to extend from the previous work of the Commission while under the chairmanship of William S. Budington and with John P. McGowan and Joseph H. Treyz Jr. as fellow members.

With respect to the subject of "bibliographic control, particularly with reference to machine-readable data" (which was cited in the 1974 Report as "perhaps the major area of concern" for the Commission at that time), attention has been focused on what has been done under the Council on Library Resources' grant to the CONSER Project for the conversion of serials records, which undertaking has had direct ARL ties through the involvement of certain of its member libraries.

With regard to concern for monographic bibliograhic data, also touched upon in the '74 Commission Report, indications of progress by the MARBI Committee (with, again, Association members as major participants) suggest no need for formal ARL initiatives beyond monitoring at a distance.

The Commission reaffirms the importance to the Association of maintaining an on-going concern for "approval plans" and "blanket ordering." It does not anticipate, however, that these subjects will become "action matters" for ARL organizationally in the immediate future.

The Commission has been apprised of progress made during the past year by the Public Printer's Advisory Council for Depository Libraries, especially regarding Government Printing Office deposit-library provisions and GPO issuance of resources in microform. An annual report, we are advised, is soon to be published, and there is a declared intention to give this statement a wide distribution.

The Commission has found itself drawn to a number of spheres where its realm has overlapped or conflicted with the domains of other Commissions (including, for example, resource planning, relationships with the information industry generally, the future prospects of scholarly publishing, audio-visual services, and aspects of library funding), to a point of its having formed a conviction that if the ARL's present scheme of Commission organization is to continue, it would be highly desirable that joint meetings of the Association's Commissions be held periodically, both to eliminate duplication of effort and, also, to ensure that certain subject-matter areas are in fact comprehensively reviewed and do not suffer in coverage as a result of jurisdictional uncertainties or confusion.

Joseph M. Dagnese
John P. McGowan
Edward C. Lathem, Chairman

August 1975

* * * *

APPENDIX C

REPORT OF THE COMMISSION ON ACCESS TO RESOURCES

The Commission is charged "to assist research library users by improving access to information, through a concern for activity and programs of local, regional, national or international application, and covering all types of library materials."

Its functions include "defining problems, identifying ... priorities, and recommending ... ARL action."

The Commission has undergone a 100% change in membership this past year and presently has one vacancy. Its chairperson has been distracted by the challenges of a new position, a unionization campaign, the annual budget process and a law suit. This report will, therefore, briefly report on limited activity.

All of the members of the Commission this past year agree that in addition to seeking to improve access to resources at other institutions through the interlibrary loan process, an effort must also be made to remove the obstacles to access in our own libraries. The Commission has prepared a list of these obstacles for the ARL Office of Management Studies and has urged that it survey ARL members to determine how they deal with them. These obstacles are identified in our April 21, 1975 Status Report.

OMS has begun work on the project. Some of the obstacles cited may warrant more than reporting in a Spec Flyer. The Commission recommends that both the encouragement of investigation by individual member institutions and contracting with research organizations outside ARL be considered. The OMS would appear to be the appropriate coordinating agency in either case.

The Commission hopes to be at full strength for its October meeting and to regain its lost momentum.

Richard W. Boss, Chairman

September 23, 1975

* * * *

APPENDIX D

REPORT OF THE COMMISSION ON MANAGEMENT OF RESEARCH LIBRARIES

The Commission on Management of Research Libraries has held two meetings since the last report to ARL members. In each instance the Commission reviewed the activities which would be appropriate for ARL. This report is a summary of these discussions.

Perhaps no function of ARL has been so thoroughly reviewed and discussed as the Office of Management Studies (OMS). It conducted a self-evaluation by questionnaire with ARL members during this past year, held round table discussions of its programs during the Houston meeting, and received an extension of funding from the Council on Library Resources after undergoing a review by that agency. Whether one views the role of OMS to teach management skills to library personnel, to collect and transmit data on management problems or academic library issues in general, it seems clear that OMS is well received by the membership. The current and future problems are: is OMS following the appropriate priorities in the use of its resources and is it possible for OMS to become more self-supporting in its activities?

There has been some concern that the Management Review and Analysis Program (MRAP) was consuming a disproportionate amount of time for the decreasing number of libraries that might participate in the program. It was further speculated that there may be other methods to develop managerial skills which could be less time-consuming and recover more of the costs involved. In the judgment of the Commission, OMS is realistic about the future of MRAP, but it does have some continuing responsibility to the twenty-one libraries which have been through the program and which need some assistance in implementing recommendations. OMS is developing alternative methods for teaching management skills. The management audit is a condensed, self-administered MRAP-like tool which is being prepared. A management skills institute was held in Philadelphia in July to determine the interest and utility of a training program designed for individuals rather than organizations. The latter program was judged to be successful and will be tried again in different parts of the country. OMS is working with McGill University to deal with a specific problem in developing a performance evaluation system. OMS is cooperating with the ACRL effort to develop a college MRAP. Approximately one-third of OMS time is devoted to these training techniques. The Commission is cognizant, however, that effective management training is complex. In some cases learning analytical techniques may be a need, but frequently behavioral change is required to effect improvement. In the latter case the mere transmission of information is too simplistic an approach. The development of training modules requires identification of areas or skills needed as well as methods for teaching skills, evaluation of approaches, and guidance and assistance in application. Adaptation for particular organizations and individuals must be anticipated.

The Systems and Procedures Exchange Center (SPEC) is one of the more conspicuous activities of OMS and has now generated a wide range of publications relating to academic library issues. As documentation increases, a hierarchy of publications is produced from a state-of-the-art survey to an evaluation of the major devices employed in resolving problems. The SPEC operation shows promise of generating enough revenue to become self-supporting and the Commission applauds its efforts.

Identification of new initiatives that ARL should undertake in the management area received prolonged discussion and resulted in some recommendations which merit careful consideration by the Board and the membership. An enumeration of some of the possible areas for investigation may be helpful in understanding the recommendations the Commission is presenting to the Board for consideration. Some of the topics discussed were:

1. Case study of how a problem is addressed.
2. Role of the research library -- review of different alternatives.
3. Development of new ways of looking at library problems.
4. Identification of areas for continuing education.
5. Development of a prototype management information system.
6. Analysis of the library as an economic system.
7. Survey of methods used to measure performance.
8. Identification of obstacles to access to library resources and services.
9. Develop methods to overcome obstacles identified in #8 above.
10. Management of collective activities.
11. Better understanding of user information needs.
12. Character of library services.
13. Computing overhead costs.
14. Computing cost of library operations.
15. National strategy for bibliographic control.
16. Role and impact of research libraries as they relate to regional and national consortia.

The list enumerated above is in addition to topics identified in the 1974 report of the Commission such as: university library standards, improved library statistics, library governance, staff development programs, etc.

It is evident that the list of possible topics is endless and that the same problems are being addressed by many organizations in various ways. The Commission was interested in encouraging a joint project with the Access Commission identified as a service development program. The focus on obstacles to effect service was judged to be too-narrowly conceived. From these discussions developed several implicit criteria for identifying a topic for further exploration: (1) the topic should have broad significance for academic and research libraries; (2) the topic should foster the development of new approaches and new analytical techniques; (3) exploration of the topic should facilitate the resolution of problems of more immediate concern in individual libraries through the methodology developed, the techniques employed, or information generated.

The Commission recommends two topics to the Board for exploration by task forces which meet these criteria:

1) Development of analytical techniques for determining the cost of library operations and methods for identifying and costing of various alternative policies and procedures;

2) Role and impact of research libraries as they relate to regional and national consortia.

It was suggested that the OMS be used as the agency to refine these topics and formulate the charge to any task forces which the Board may wish to appoint.

Richard Dougherty
Warren J. Haas
Russell Shank
Stanley McElderry, Chairman

August 29, 1975

* * * *

APPENDIX E

REPORT OF THE COMMITTEE ON FEDERAL RELATIONS

The Committee underwent a series of membership changes during the early part of the year and did not begin to function as a group until Spring of 1975. Membership presently consists of: Warren N. Boes, Richard Couper, Joseph Jeffs, Philip McNiff, Paul Willis, and Eugene Kennedy, Chairman.

The role and function of the Committee were thoroughly reevaluated by the Officers and Board with particular attention given to the ever-increasing workload being placed on the ARL office in meeting the many commitments of the Association. These commitments have developed to a point where the Executive Director believes that it is not the function of the ARL office but of the membership in general and, especially, the Federal Relation's Committee to assume more responsibility in the governmental relations area.

The Committee was asked to advise the Board as to appropriate responses to the several statements of the National Commission on Libraries and Information Science. The Committee Chairman met with Mr. Alphonse Trezza, Executive Director, NCLIS, on December 13, 1974. During this informal meeting, Mr. Trezza expressed concern over the need to get more input from the Association regarding not only the draft statement of NCLIS but also on proposed higher education legislation. It was agreed that the Federal Relations Committee could be very useful to the National Commission.

The Committee then turned its attention to the need for establishing more effective working relationships with the major higher education associations. Discussions were initiated with the Association of American Universities which, in April, 1975, had established an advisory Committee on College Library Assistance and Library Training and Research. The AAU Library Committee had sixteen members-- ten of whom were library directors from ARL member institutions. The AAU Committee was asked to help prepare program analyses and to formulate specific recommendations concerning the various higher education programs being considered for reauthorization by Congress in 1975/76.

The Federal Relations Committee suggested that a joint meeting of the ARL and AAU Committees might be the most practical approach in attempting to reach some agreement with AAU staff on higher education library priorities.

A Seminar on Legislative Planning was held at the Brookings Institute June 17-18, 1975 under ARL sponsorship. Representatives from AAU and the National Association of State Universities and Land Grant Colleges participated in the seminar and guests included Mr. John Lorenz; Mr. Peter Muirhead of George Washington University (formerly Associate Commissioner for Higher Education in USOE); Mr. Larry Papier, USOE; Mr. Christopher Wright, ALA Washington Office, and Mr. James Riley, Federal Library Committee.

There was general agreement with Mr. Muirhead's comments that any prospects for new legislative authority are quite dim, but that the Higher Education Amendments of 1972 are broad enough for some realignment of library priorities. Considerable attention was given to the Graduate Education Title in the '72 amendments which has never been funded but which now is being supported by the Carnegie Higher Education Council. This title strengthens the older "Networks for Knowledge" concept and appears to be much more viable than the latter.

The Seminar ended with a general consensus that the most immediate problem facing the research library community was to arrive at some agreement on priorities for possible legislative support. Such priorities, it was noted, would have to be phrased in human terms rather than from a library technology point of view in order to elicit congressional suppo[illegible].

Those attending the Seminar concluded that the following topics presently appear to have the highest priority for legislative support:

Bibliographic Control
Serials Resource Center
Conservation
Technology
Resource Sharing
Networks
Facilities

The Committee will appreciate receiving any comments or reaction from the membership on these topics as it attempts to continue working with other higher education groups in getting more legislative support for research libraries.

Eugene P. Kennedy, Chairman

October 10, 1975

APPENDIX F

REPORT OF THE COMMITTEE ON FOREIGN NEWSPAPERS ON MICROFILM

Membership. Two new committee members were appointed during 1975: Bruce Peel, Director of the University of Alberta Library, and Gustave A. Harrer, Director of the University of Florida Libraries. They replaced Basil Stuart-Stubbs, Director of the University of British Columbia Library, and Lucien W. White, Director of the University of Illinois Library. Gordon R. Williams, Director of The Center for Research Libraries, is the third committee member.

Meetings. The ARL Standing Committee on Foreign Newspapers on Microfilm met on January 19, 1975. [The minutes of the meeting are included here after this report].

ARL Foreign Newspaper Microfilm Project (FNMP). At the January 19 meeting, Gordon Williams presented a financial report on FNMP for calendar year 1974, as well as a budget estimate for 1975. Both are included at the end of this report. The fund balance on December 31, 1974 was $56,292, but $42,844 of that sum was committed for microfilming and purchases, leaving an uncommitted fund balance of $13,448.

In February the committee learned of a price increase at the Photoduplication Laboratory at the University of Chicago, which does the FNMP filming. This increase, along with similar increases in commercial microfilm prices, seem to make a FNMP subscription increase both justifiable and inevitable. The size and timing of the increase will be considered at a forthcoming committee meeting.

Between September 1974 and September 1975, FNMP purchased backfiles of 16 foreign newspapers of proven research interest, including titles such as *El Comercio* (Quito) 1948-1955, and the *London Observer* 1916-1955. A complete list of purchases during this period, as well as a status report on the filming rights for several other titles, is attached to this report. During the past year the University of Cincinnati and Latrobe University dropped their FNMP memberships and the University of Washington joined FNMP. There are now 79 subscribers to the project, and two universities are known to be considering membership.

Foreign Newspaper Microfilming Activities at the Library of Congress. Since the last committee annual report, John Y. Cole, Foreign Newspaper Microfilming Coordinator, has prepared two issues of the LC *Foreign Newspaper and Gazette Report*.

The Library has announced that it will publish *Newspapers in Microform 1973*, the first annual supplement to the two-volume *Newspapers in Microform 1948-1972*, in the summer of 1975. Publication of the second supplement, *Newspapers in Microform 1974*, is scheduled for late 1975.

During the past year, the Library has made a special effort to increase the number of titles it microfilms from the Middle East; as announced in the 1975 no. 1 issue of the LC *Foreign Newspaper and Gazette Report*, a total of 59 current Arabic, Turkish, Persian, and Armenian newspapers are now available.

Foreign Official Gazette Microfilming. In Washington, D.C. on November 19, 1974, John Y. Cole of the Library of Congress delivered a paper concerning the status of gazette microfilming before the Committee for Official Publications of the International Federation of Library Associations (IFLA). He pointed out that the 1974 no. 3 issue of the LC *Foreign Newspaper and Gazette Report* announced the availability of 63 current gazettes (Europe and Africa south of the Sahara) from the New York Public Library and 14 current gazettes (Latin America) from the Library of Congress.

At its January meeting, the committee agreed to purchase for ARL Foreign Official Gazette Microfilming Project (FOGMP) those titles that would bring FOGMP holdings up to the point where the new Library of Congress/New York Public Library project commences. This microfilm, covering roughly the years 1967-1969, was ordered from the New York Public Library. One matter remaining on the committee agenda is a letter to FOGMP subscribers concerning the future of the project and its relationship to the new Library of Congress/New York Public Library joint gazette project.

Attachments: Minutes of the January 19, 1975 meeting, including the financial report and proposed budget; a list of FNMP purchases, September 1974-September 1975; two issues of the LC *Foreign Newspaper and Gazette Report*. [The *Report* is not included in these Minutes]

COMMITTEE ON FOREIGN NEWSPAPERS ON MICROFILM

Minutes of Meeting
January 19, 1975 - Chicago, Illinois

The ARL Standing Committee on Foreign Newspapers on Microfilm held an informal meeting on January 19, 1975. Members in attendance were John G. Lorenz Deputy Librarian of Congress, and Gordon R. Williams, Director of The Center for Research Libraries. Also present was John Y. Cole, Coordinator, Foreign Newspaper Microfilming, Reference Department, Library of Congress.

Mr. Williams presented a financial report on the ARL Foreign Newspaper Project for calendar year 1974, as well as a budget estimate for 1975. He noted that a report on 1974 project acquisitions was submitted in December. Several questions concerning project holdings were discussed. It was agreed to transfer the microfilm of the Bangladesh Observer (December 18, 1971-) from the Center for Research Libraries to the ARL project, which will place a subscription for future issues. CRL members will retain access for the period represented by the transfer. At the same time, ARL project subscribers will be granted access to the ARL file of the Pakistan Observer (1962-December 17, 1971).

Mr. Cole reported briefly about foreign newspaper activities at the Library of Congress, particularly the publication of the 4th edition of Newspapers Received Currently in the Library of Congress (1974) and the pending publication of Newspapers in Microform 1973. The latter will be the first annual supplement to the two volume cumulation, Newspapers in Microform: United States, 1948-1972 and Newspapers in Microform: Foreign Countries, 1948-1972.

With regard to the microfilming of foreign gazettes, it was agreed to purchase for the ARL Foreign Official Gazette Project (FOGMP) those titles that would bring FOGMP holdings up to the point where the new Library of Congress/New York Public Library gazette filming project commences. This microfilm, covering roughly the years 1967-1969, will be purchased from the New York Public Library. A draft letter from the committee to FOGMP subscribers concerning the future of the project was discussed. Mr. Williams agreed to expand the letter, explaining the committee's decision to terminate FOGMP and asking subscribers for a response on the use of whatever funds remain after the latest purchase.

ARL - Foreign Newspaper Project

Financial Summary:

Fund balance, 31 December 1974	$ 56,292
Committed for filming and purchase of positives through Dec. 31, 1974	38,044
Committed for purchase of backfile (Politiken, Copenhagen, 1901-1951)	4,800
Uncommitted fund balance as of 31 December 1974	$ 13,448

ARL - Foreign Newspaper Microfilm Project

Budget estimate, 1975

Income

Membership dues	$ 66,000
Interest income	2,760
Sales to non-members	15,000
	$ 83,760

Expense

Wages	$ 35,260
Payroll taxes	3,000
Supplies	2,000
Storage	1,900
Audit	600
Insurance	700
Royalties	1,800
Subscription to newspapers	8,000
Filming costs (neg. and pos.)	26,400
Purchase of positives from outside negatives	11,000
	$ 90,660

Excess of expense over income	$ 6,900

We are trying to get back filming rights for Jornal do Comercio (Rio de Janerio), El Comercio (Lima), and the Statesman (Calcutta). The publishers of these papers withdrew their permission to film several years ago and gave permission to MCA, which subsequently dropped them. Neither Journal do Comercio nor the Statesman has yet answered our requests for renewed permission. El Comercio has said that we may have permission but has not yet returned the contract we sent them for signature. (We had already signed it.)

Cancelled memberships

University of Cincinnati

Latrobe University

New memberships

University of Washington

Now considering membership

University of Akron

University of California at Irving

ARL FNMP REPORT, Sept. 1974 - Sept. 1975

Backfiles added since last September

The Egyptian Gazette	Jan 1930-Jan 15, 1941; Jan 3, 1943-Dec 1951
El Comercio (Quito)	1948-1955
France Soir	August 1944 - December 1952
Le Populaire	May 1916-June 1924; Jan 1925-June 1940; Aug-Dec 1944; Jan 1946-Dec 1952; plus clandestine material from the 1940's
London Observer	1916-1955
El Mercurio (Santiago)	June 1914-Dec 1937; 1953-1955
Neues Wiener Tageblatt	July 1938-March 20, 1940; May 1940-Dec 1944
El Universal (Mexico City)	Jan 1930-Dec 1933
China Press	Jan-June 1925; Aug 1925-Oct 1938
La Nacion (Argentina)	Sept 1923-Dec 1950 (lacking April 1924)
Jornal do Brasil	Jan 1971-Dec 1972
Politiken	1890-1930
Straits Times	1890-1901
Times of India (Bombay)	1883
To Vema	1962-1966
Chung Yang Hih Pao (from various places)	[1928-Dec 1955]

New titles added since last September

None

Titles for which publisher has withdrawn permission for the project to film

Estrella de Panama	(Project has ordered continuation positive from the publisher)
El Tiempo	(Project has ordered continuation positive from the publisher)

APPENDIX G

REPORT OF THE COMMITTEE ON INTERLIBRARY LOAN

The report of last year ended with an unresolved issue: whether it is better to create one national SILC system without having machine records of bibliographic data and holdings as a basis for searching an inquiry to meet the interlibrary loan requirements, or whether it would be more practical to urge emerging regional systems to develop a SILC-like interlibrary loan support capacity and for these systems to have the ability to talk one with the other when inquiries must be satisifed beyond resources held locally. During Committee conversations in early February of this year, at a meeting with the ARL Board of Directors and with the Executive Director, it was decided to take the latter of the two approaches. The SILC proposal to the National Science Foundation was written and submitted in May on that basis. It also followed four principles:

1. We reaffirm the need for a computer-based interlibrary communication system;
2. We believe it more desirable and feasible to build a system on existing or emerging subject-based or regional networks;
3. The interfacing of these emerging networks must be to some commonly-accepted standards and guidelines of operation; and
4. The guidelines and standards must include technical specifications which go well beyond the MARC II format and ISBD, interlibrary loan protocols, statistical standards of data collection and reporting, and hopefully would also include general policies on equitable sharing of resources.

In latter discussions between the ARL office and the Library of Congress, the Acting Librarian of Congress agreed that LC would carry the responsibilities of Principal Investigator. The proposal no longer relies on two task forces for the technical and nontechnical standardization work, but rather the Library of Congress will undertake the creation of such standards with consultation with individuals and associations having expertise useful in the formulation of these standards. It is hoped that favorable response to the ARL proposal may be received from the agency during this fall.

Since the first half of this year was occupied with efforts to resolve the organizational structure that would best facilitate "a strategy for planning communications among library systems," it was not until the end of July that the committee turned its attention to other areas in which the committee might further the interests of ARL in the field of interlibrary loan.

The Committee is presently beginning to look at weaknesses in the sharing of resources. The possibility has been raised of addressing the need for guidelines on internal response time to ILL requests. A second is a liberalizing of loans to undergraduates. And a third is consideration of regional routing patterns they may be most efficient for processing the majority of requests on a rather local basis before turning to the inter-regional level.

As the committee considers these and other issues, it would very much appreciate ARL Directors or their public service staff officers drawing to our attention the kind of problems which may be subject to improvement if tackled on a national basis. We ask that this report be circulated to those staff concerned with inter-institutional services so they may write us their reaction to the three possibilities cited above or to bring to our attention other areas that may deserve priority attention.

Richard E. Chapin
John Humphry
Ruth M. Kirk
Jay Lucker
David C. Weber, Chairman

August, 1975

* * * *

APPENDIX H

REPORT OF THE COMMITTEE ON ACCESS TO MANUSCRIPTS AND RARE BOOKS

I have the honor to submit the annual report for the ARL Committee on Access to Manuscripts and Rare Books for 1974-75.

The previous annual report described the work of the committee in developing two statements: one, Access to Original Research Materials in Libraries, Archives, and Manuscript Repositories; the other, Reproduction of Manuscripts and Archives for Noncommercial Purposes.

These statements were completed by the committee and an initial presentation made to the ARL membership at the midwinter meeting in Chicago, January 18, 1975. The statements were then submitted to the ARL Board of Directors, who recommended them to the membership at the May 7th meeting in Houston, Texas. Both were approved.

Following this approval, the committee approached the Rare Books and Manuscripts Section of ACRL and the ACRL Manuscripts Collections Committee and has sent copies of its statements to the Society of American Archivists. These groups also have developed statements on access to original materials and their reproduction, which were valuable to the committee's work. It has been the feeling of the committee that the profession should be represented by one set of statements, rather than three, and the approach has been made to see if our statements can receive the support of ACRL and the SAA.

The committee has also felt it would be valuable in promoting better understanding and better security of original materials if the research community also gave its support to these statements. The Joint Committee on Historians and Archives, comprising the American Historical Association, the Organization of American Historians, and the Society of American Archivists, has expressed concern regarding "instances of detrimental treatment of research materials by scholarly users." The ARL statements on access and reproduction of original materials have been sent to the chairman of the Joint Committee on Historians and Archives, with an invitation for his committee to review the statements to see if they can receive the Joint Committee's support. If they do, the next step would be to try to secure the endorsement of the American Historical Association.

William H. Bond
William R. Cagle
John Finzi
Ray W. Frantz, Jr., Chairman

August 27, 1975

* * * *

APPENDIX I

REPORT OF THE COMMITTEE ON LIBRARY ACQUISITIONS ON EAST ASIA

Inasmuch as this is the first report submitted by the Foreign Acquisitions Subcommittee on East Asia (formerly the Subcommittee on the Far East of the Foreign Acquisitions Committee) since the presentation of the "Position Paper on East Asian Collections" in June 1969, we shall commence with a brief overview of the current status of collections of materials in East Asian languages (Chinese, Japanese, Korean and related languages) in the libraries of the United States and Canada. We shall then move on to a discussion of funding, and conclude with a report on recent activities in planning and development.

Current Status

Some 76 institutions are listed in the Directory of East Asian Collections in American Libraries, 1974/1975. Excluding relatively minor collections, we find that 47 North American research libraries support East Asian language collections ranging in size from around 20,000 volumes to over one million volumes. Of the 47, the top 19 ranked in order of size are as shown in Table 1. Staff sizes, also shown in the table, range from one to 52 (full time professional staff only) with most of the collections reporting staffs of 8-12 members. Current figures for staff and book budgets are difficult to obtain, but in 1973 the libraries holding over 100,000 volumes reported annual staff budgets clustered in four groups, as follows: $50,000-89,000; $126,000-140,000; $204,000-290,000; and $1.2 million. Annual book budgets also reported in 1973 clustered in three groups: $24,000-32,000; $69,000-90,000; and $139,000-152,000. (These were amounts expended primarily for East Asian language books and periodical subscriptions).

It may be observed that all of the top 19 except Hawaii are ARL libraries. Geographically the East and West coasts and the Midwest are well represented, while the South, the Southwest and the mountain states are ill served insofar as East Asian library resources are concerned.

TABLE 1. Selected East Asian Collections: Size in Volumes[a] and Staffing[b]

	Library[c]	Volumes	Staff Size
1.	Library of Congress	1,032,000	52
2.	Harvard-Yenching	510,000	12
3.	Columbia	363,000	10
4.	California (Berkeley)	346,000	10
5.	Chicago	266,000	10
6.	Princeton	263,400	8
7.	Michigan	263,000	8
8.	Stanford (Hoover)	260,000	9
9.	Cornell	239,000	3
10.	Yale	227,000	9
11.	Hawaii	199,000	6
12.	British Columbia	174,000	3
13.	California (Los Angeles)	150,000 (est.)	3
14.	Toronto	147,000	6
15.	Washington (Seattle)	144,000 (est.)	7
16.	Wisconsin	110,000	5
17.	Illinois	96,000	4
18.	Maryland	94,000	3
19.	Virginia	91,000	1

---

[a] As of June 1973, as reported in various issues of the Committee on East Asian Libraries Newsletter.

[b] Size of professional staff only, as of June 1975, as listed in Directory of East Asian Collections in American Libraries, 1974/1975. With respect to nonprofessional staff, a 1973 study showed an approximate 1:1 ratio of professional staff to nonprofessional F.T.E. employees.

[c] There are nine additional libraries in the 50,000-80,000 volume range; and nine libraries in the 20,000-49,000 volume range.

Special Financial Support

During a period when higher education is generally suffering from financial retrenchment, East Asian libraries, and especially their Japanese collections, have benefitted from new sources of financial support. As Table 2 shows, the major beneficiaries have been the largest libraries although the smaller ones have not been entirely neglected. Moreover, the support tends to be in the nature of one-time grants, with indications that the largesse cannot be expected to continue idefinitely into the future.

TABLE 2. Recipients of Foundation Support, 1973-1975

Recipient	Foundation			
	Mellon[a]	Japan Foundation[b]	Expo[c]	Yoshida[d]
Arizona			x	
British Columbia	x		x	
California (Berkeley)	x	x	x	
California (Los Angeles)			x	
Chicago	x	x	x	x
Columbia	x	x	x	x
Cornell	x		x	
Dag Hammarskjöld			x	
Duke			x	
George Washington			x	
Harvard	x	x	x	
Hawaii		x	x	
Indiana			x	
Kansas			x	
Michigan	x	x	x	
Minnesota			x	
Pittsburgh			x	
Princeton	x	x	x	
Stanford (Hoover)	x	x	x	
Toronto	x			
Washington (Seattle)	x	x	x	
Wisconsin			x	
Yale	x	x	x	

---

a. Mellon Foundation: grants of $150,000-200,000 for support of East Asian library development over a period of time.

b. Japan Foundation: $1 million grants for support of Japanese studies overall, with part of the grants being made available for Japanese collection development. In addition, the Japan Foundation has been donating gifts of books (25-600 volumes) to numerous colleges and universities.

c. Expo Fund (Japan World Exposition Commemorative Association): grants of $10,000 each to subsidize acquisition of Japanese publications.

d. Yoshida International Foundation. Grants of around $15,000 for acquisition of Japanese materials over a 2-3 year period.

While the Mellon Foundation grants are for the purpose of developing East Asian collections, the Japan Foundation, Expo and Yoshida Foundation grants are earmarked specifically for Japanese collection develoment. Moreover, Japanese business enterprises have in recent years been generous donors to at least three universities to support Japanese studies programs (including, it is assumed, Japanese collections). Thus Harvard received $1 million from Mitsubishi enterprises; Yale $2 million from Sumitomo enterprises; and Pittsburgh $1 million from the Japan Iron and Steel Federation. Furthermore, at least four libraries--California, Columbia, Chicago and the Library of Congress--have been the recipient of substantial gifts of Japanese books from the Soka Gakkai, the Buddhist organization headquartered in Tokyo.

Finally, the Mellon Foundation recently granted $300,000 to the ARL Center for Chinese Research Materials to enable the Center to continue beyond August 1975 its work of locating, reproducing, publishing and distributing scholarly research materials in Chinese studies.

Recent Activities in Planning and Development

While unusual support has been received by selected East Asian collections, this has generally taken the form of one-time grants, as indicated previously. Moreover the beneficiaries have been limited in number, and there remain massive problems relating to the orderly and systematic development of East Asian collections in university libraries. These problems of resource development, of bibliographical controls, of adequate staffing, and of adequate budgeting require attention, so that East Asian libraries will be able to provide the level of service required by their specialized scholarly clientele wherever they may be located.

Various permanent committees and *ad hoc* groups have addressed various aspects of the nation problem of resource development and related issues in the recent past.

Task Force on Library and Information Resources. The Task Force on Library and Information Resources of the Government/Academic Interface Committee of the International Education Project sponsored by the American Council on Education submitted a report in January 1975 entitled *Library Resources for International Education*. ARL assumed responsibility for the work of the Task Force and the report was written by John Berthel, University Librarian, Johns Hopkins University. Included in the report (pages 16-26) is an analysis of East Asian collections with special attention to the need to develop new and innovative cooperative schemes to promote resource sharing.

NPAC and East Asia. NPAC shared cataloging coverage of Japanese publications commenced with the establishment of LC's Tokyo office in 1968. Moreover, to further assist the research library community through NPAC, a special searching project for Chinese and Korean imprints (1973+) was instituted in late 1974. The special feature of this project is that it requires book-in-hand by the reporting library before reporting--the book to be searched against sets of Chinese and Korean depository cards held by reporting libraries. They then report to LC titles for which printed cards are not available, thus upgrading cataloging priorities for titles already acquired by LC or speeding up the ordering of titles not yet in hand for demand cataloging. LC has also taken special steps, particularly during the past year, to improve its acquisitions of both Chinese and Korean current imprints, and to speed up its production of printed cards in East Asian languages. Various groups, however, continue to urge LC to establish an NPAC regional office to improve control over Chinese publications.

Task Force on (Chinese) Libraries and Research Materials

This Task Force was organized following the Conference on Priorities for the Funding and Development of Chinese Studies (November, 1973) by the American Council of Learned Societies and the Social Science Research Council. Chaired by Professor F. W. Mote, Princeton, it is studying problems centering on the acquisition and bibliographic control of Chinese publications by American libraries. It has paid special attention to the national role of the Library of Congress in the overall process, and has met twice with Library of Congress representatives, discussing such topics as the Library's NPAC Chinese/Korean Searching Project and the acquisition of Chinese language materials.

Conference on Chinese Cooperative Cataloging. Three annual conferences were convened by Eugene Wu, Librarian, Harvard-Yenching Library and Douglas W. Bryant, University Librarian, Harvard University, in 1972, 1973 and 1974. These conferences were attended by representatives of the East Asian collections of at least 28 research libraries. Out of their recommendations has come the Library of Congress' Chinese Cooperative Catalog (issued monthly, since January 1975). This catalog can be used as an acquisitions aid for hard-to-identify Chinese publications from the People's Republic of China, Hong Kong and Taiwan.

American Library Association International Relations Advisory Committee for Liaison with Japanese Libraries. This ALA Advisory Committee is organizing, with its Japanese counterpart, the Third U.S. - Japan Conference on Libraries and Information Science in Higher Education scheduled for October 28-31, 1975, in Kyoto. A special working group during the conference will address problems relating to the acquisition by American libraries of hard-to-procure Japanese publications, such as government documents and scholarly journals. Attending the conference, whose theme is "Interlibrary Networks: Prerequisites for Sharing Resources", will be the directors of several ARL Libraries. The Advisory Committee is chaired by Dr. Robert D. Stevens, Library of Congress (formerly Dean, Graduate School of Library Studies. University of Hawaii).

CULCON Library Subcommittee. The Japan-U.S. Conference on Cultural and Educational Interchange (CULCON) was formed in 1961 by agreement between Prime Minister Hayato Ikeda and President John F. Kennedy. Seven biennial conferences have been convened, the 7th in Tokyo in 1974. The 8th in the series will be convened in Washington D.C. in 1976. For the first time the American Panel of CULCON has established a Library Subcommittee, to be chaired by Warren Tsuneishi, Library of Congress. The Subcommittee will include representatives of major East Asian collections, and will work in the areas of personnel interchange and materials exchange, among others.

Committee on East Asian Libraries. The Association for Asian Studies' Committee on East Asian Libraries (chaired by Dr. Thomas C. Kuo, University of Pittsburgh) appointed a Subcommittee on Resources and Development in 1974 headed by Dr. T. H. Tsien, University of Chicago. The Subcommittee has recommended the convening of a National Conference on East Asian Libraries to set priorities for the further development of resources and bibliographic controls. It held preliminary discussions with Ford Foundation representatives in early 1975 on the matter, and this had had some effect on the development of the new Steering Committee discussed below.

S[illegible]ing Committee for the Study of Problems of East Asian Libraries. This [illegible] Committee, organized at Ford Foundation request by the American Council of Learned Societies, is headed by George M. Beckmann, Dean, College of Arts and Sciences, University of Washington, and a specialist in modern Japanese history. Other members of the Committee have been selected to represent Chinese studies (Albert Feuerwerker, Director, Center for Chinese Studies, University of Michigan); university administrations (Hanna H. Gray, Provost, Yale; and William F. Miller, Provost, Stanford); library directorships (Warren J. Haas, Columbia; and Herman H. Fussler, Chicago); and East Asian collections (Warren Tsuneishi, Chief, Orientalia Division; and Eugene Wu, Librarian, Harvard-Yenching Library, Harvard). The Steering Committee is intended to explore the full range of problems facing East Asian libraries, including questions of acquisitions, and to commission information/position papers or to collect data as needed. The papers are to address broad issues of national policy transcending individual institutional interests. The papers may well be presented to a National Conference on East Asian Libraries for study and debate.

Summary

East Asian collections in North American libraries have reached a critical stage in their historical development. Past accomplishments now provide a firm foundation on which to build further, but future directions of development are still very much in doubt. And despite very recent successes in obtaining financial support from new sources, fundamental questions of financing further expansion remain.

During the past two years various national organizations -- the American Council on Education, ARL, ALA, ACLS-SSRC, and the Association for Asian Studies -- have created special task forces and subcommittees to study the problems facing East Asian libraries from a national perspective. The next two years are shaping up as a period of critical analysis of these collections. Questions such as whether 19 East Asian collections are adequate to provide service to a national constituency of East Asian scholars must be addressed. Recommendations for programs of action resulting from the analysis will profoundly affect the development of East Asian libraries during the remaining decades of this century.

Weiying Wan
Eugene Wu
Warren Tsuneishi, Chairman

August 29, 1975

* * * *

APPENDIX J

REPORT OF THE COMMITTEE ON LIBRARY ACQUISITIONS ON LATIN AMERICA

Dr. Nettie Lee Benson of the University of Texas Library and Mr. Donald Wisdom of the Library of Congress served as committee members. The committee did not meet formally during the year, but Deal and Wisdom discussed committee affairs at the ALA midwinter meeting and again at the annual meeting of the Seminar on the Acquisition of Latin American Library Materials (SALALM) in June. As in past years, the activities of SALALM, particularly through the Committee on Acquisitions and the Committee on Bibliography and their various subcommittees, form the basis of this report.

1. A basic list of titles suitable and recommended for college and public libraries on Latin America is now in press. It will appear in the publications series of the Consortium of Latin American Studies Programs. The guide was prepared by Mr. Earl Pariseau of the Latin American, Spanish and Portuguese Division of the Library of Congress and contains approximately 2,300 annotations, almost all of English titles in the social sciences and humanities. The project which was aided by a grant from the Tinker Foundation, was sponsored by the Scholarly Resources Committee of the Latin American Studies Association. Some fifty scholars assisted in the selection and reviewing processes.

2. A Latin American Microforms Project similar to other microfilming project for other world areas, which are already operational through the Center for Research Libraries, is expected to begin in the fall of 1975. A questionnaire was mailed to CRL, ARL, and SALALM members and to other research libraries and provided information to substantiate the need for a LAMP project. It also identified the kinds of materials libraries would like to collectively acquire on microfilm. When finalized, the project will be administered through CRL by a committee selected from subscribing institutions. Professional groups which have already expressed an interest in the project are the Conference on Latin American History of the Historical Association and the Scholarly Resources Committee of the Latin American Studies Association. Initial interest of the project will be in the filming of rare or unique newspapers, serials and government documents.

3. A Cost-Price Index was compiled by Mr. Robert Sullivan of the Library of Congress for the SALALM Subcommittee on Cost Statistics for Latin American Publications. The index reports the average price paid by eight research libraries

for current books received from Latin America and the Caribbean area. The average cost of new titles received primarily on blanket orders is averaged for each country.

4. The Microfilm Projects Newsletter, prepared annually by Suzanne Hodgman of the University of Wisconsin, appears in the Final Reports and Working Papers of the twentieth SALALM conference. This continues a useful guide to microfilms of significant items about Latin America acquired by research libraries throughout the country.

5. The Library of Congress now has agents in Caracas and Bogota with responsibility to secure noncommercial publications under the NPAC program. The new Library of Congress Accessions List: Brazil is now available through LC's NPAC office in Rio de Janeiro.

6. The bibliography being prepared by Mr. Lee Williams of Yale University Library, entitled Chilean Bibliography of the Allende Years, is still in preparation and nearing completion. The guide, which is a union list of holdings in a dozen research libraries, will be published by the G.K. Hall Company.

7. At the Twentieth SALALM conference, a number of librarians met with the editor of the leading Bogota daily, El Tiempo, to discuss plans for filming the newspaper. Although plans were already underway, Mr. Robert Sullivan and Mr. Donald Wisdom of the Library of Congress discussed with the editor some of the technical problems which would be involved.

Several interesting and important activities presently being developed within SALALM during the coming year should also be mentioned. First, the preparation of the Hispanic American Periodical Index by SALALM members, under the editorship of Ms. Barbara Cox of Arizona State University at Tempe, Arizona is underway. The project is expected to materialize, if the grant to Arizona State University from the National Endowment for the Humanities is approved. A second important bibliographic project is the "Supplement" to Arthur Gropp's Bibliography of Latin American Bibliographies, under the guidance and editorship of Mr. Daniel Cordeiro, Syracuse University Library. Both of these projects will be kept current and will provide vital bibliographic information for scholars on a continuing basis.

Nettie Lee Benson
Donald Wisdom
Carl W. Deal, Chairman

August 26, 1975

* * * *

APPENDIX K

REPORT OF THE COMMITTEE ON LIBRARY ACQUISITIONS ON SOUTH ASIA

The focus of the South Asian Acquisitions Committee has been described as "library management with reference to South Asian acquisitions and their control". Its present members are Mr. Richard De Gennaro, University of Pennsylvania; Mr. Paul Fasana, New York Public Library; Miss Maureen Patterson, University of Chicago; and Mr. Louis Jacob, Library of Congress (Chairman).

The Committee has had no formal meeting during 1974-75. It stands available should it be needed but as yet has received no action proposals for its consideration. We respectfully request that the Committee be retained "in being" but that its members not be required to meet pending specific assignment.

Louis A. Jacob, Chairman

August 5, 1975

* * * *

APPENDIX L

OFFICE OF UNIVERSITY LIBRARY MANAGEMENT STUDIES
Fifth Annual Report: December, 1975

In the past research libraries have dealt with organizational problems largely on an individual basis. Advancements in technology and improvements in library practices were achieved mainly as the result of significant individual contributions. Increasingly, however, research libraries are seeking to address their management concerns through cooperative projects that avoid duplicative effort and make better use of available resources. The Office of University Library Management Studies is one mechanism for achieving this.

During the five years of Office operation, an attempt has been made (1) to develop a greater awareness of the management concerns and operational complexities of research libraries; (2) to make available resources aimed at organizational improvement; (3) to involve research libraries directly in organizational and self-improvement studies; and (4) to secure refinements in library practices, policies and attitudes. This report will not attempt to inventory all of these past efforts, but will focus instead on future directions of the Office. The activities of the Office are generally grouped around the three programs of research, information exchange and training.

Applied Research and Development Program

The central interest of the Office is the applied research and development program. This program encompasses activities that identify areas of library management requiring study and analysis, investigate fundamental issues concerning library management, and result in effective approaches and systems that can be used by research libraries to improve performance. During five years of operation, the Office has participated in research activities such as the case study of the Organization and Staffing of the Columbia University Libraries, the Cornell Long-Range Planning Study, the Northeast Academic Science Information Center's study of machine-based information services, and the design of the Management Review and Analysis Program (MRAP), a management self-study technique. In 1975 the Office assisted in completing the fourth application of MRAP and initiating a fifth application, bringing to 22 the number of research libraries that have applied the program. Some additional refinements were made in the program and new resources were developed to aid participants in efficiently completing the management self-study.

The ARL Management Commission has urged the Office to maintain the capability to provide MRAP to ARL libraries in the future and to assist past participants in implementation. A fifth application of MRAP involving the Johns Hopkins University Libraries will be completed in the next year and a sixth application is tentatively planned for the Fall of 1976. The Office is also committed to assisting the Academic Library Development Program, a CLR financed project being conducted at the University of North Carolina at Charlotte. This program builds on the MRAP experience and will move toward applying self-study techniques to academic libraries.

The level of effort required to operate ongoing programs restricts the number of new activities that may be undertaken by the Office. Recognizing this constraint, a limited number of projects are being considered by the Office and the ARL Management Commission as priority development efforts.

One area of considerable interest is MRAP applications. Several OMS activities already capitalized upon the MRAP experience and resources and in the future it is expected that a Management Performance Audit will be developed that would telescope the MRAP into a diagnostic tool for use by research libraries.

Another application of MRAP techniques is the Services Development Program which is intended to produce a procedure for research libraries to use in assessing their service obligations to their several constituencies, and to provide a structure for making decisions on service priorities. A number of issues need to be considered within this context (e.g., the ability of research libraries to recognize and meet new needs, the difficulty of addressing key issues with faculty, the need to determine attitudes of users toward the library, etc.). The intent is to capitalize on management processes and techniques in the examination of key issues and the operation of research libraries' service programs. In the course of the next year initial data gathering efforts will be completed and a general design prepared.

A new effort currently being considered is the Problem Analysis Project. The intent of this project is to apply the skills and resources of the OMS to the examination of some of the major questions facing research libraries (e.g., the policy and attitudes toward collection development). The project aims at capitalizing on the talent, energy, and expertise present on the staffs of research libraries through the operation of an analytical procedure which involves several libraries investigating the same basic question. It is expected that the project will develop a greater understanding of complex issues at several local libraries and lead to a discussion of some of the assumptions, constraints, and possible actions in regard to the problem. As a result, the project will secure action both on the local level, where a series of short-term decisions and long-range strategies might be developed, and on the national level where there might be a movement toward a clearer ARL policy on these fundamental questions. The key in the development of this project is the design of the analytical procedures and the provision of needed resources that would facilitate cooperative work on these concerns by several ARL libraries.

Information Collection and Dissemination Program

The intent of this program is to secure and to make available information which is descriptive of current and emerging research library practices in order to stimulate innovation, experimentation, and improvement in library management and operation. The major components in this program are the development of publications such as the *Occasional Papers* series and operation of the Systems and Procedures Exchange Center (SPEC). While development of publications is normally an outgrowth of the Office's research effort, the SPEC is a deliberate attempt to operate a comprehensive information clearinghouse that provides timely information on current topics of importance to academic library managers.

In 1975 the Systems and Procedures Exchange Center operations included conduct of four surveys of current practices in research libraries, development and distribution of nine SPEC *Flyers* and associated *Kits* and maintenance of an information service that responded to almost 2,000 requests for assistance. One major publication (on performance appraisal) was issued in the *ARL Management Supplement* series and five additional publications are in advanced stages of development. To date, the Center has produced a total of 23 SPEC *Flyers* and *Kits.*

During the next year the Systems and Procedures Exchange Center will be maintained at its current level of priority and it is expected that the Center will conduct surveys covering the topics of: use of operations research techniques, organization of the gifts and exchange function, organization of systems functions, and budgeting processes. SPEC has scheduled development of ten SPEC *Flyers* and *Kits* in 1976. In addition, the Center will operate on-demand information services, provide access to SPEC files for members and library researchers, and conduct on-demand surveys for ARL member libraries and SPEC subscribers.

Organizational Training Program

The objectives of this program are to identify the training needs of research libraries and to design training resources that will assist research libraries in developing staff to meet library requirements. In the past year the Office's first Management Skills Institute was planned and executed with 42 participants. The training film resources project made available three management films with accompanying discussions and training materials. A collaborative project was launched with the McGill University Libraries that produced a goals-based performance appraisal procedure along with a packaged training program that may prove applicable to other situations.

In the next year the Office will continue operation of a training film project which involves the selection and maintenance of training resources by OMS. The Office also has scheduled a management skills institute for July, 1976 at the Airlie House in Virginia, and will organize regional workshops and participate in association meetings, seminars and conferences. In addition some investment will be made in the design of topical training modules. This effort will address key operational areas of concern to library managers by developing training programs that can be applied internally by libraries. For example, in the area of performance appraisal the OMS will develop a training package including: films, case studies, and role playing techniques. These will be supplemented by programmed learning and direct institutional assistance provided by the OMS. Presently the OMS is completing a pilot project with McGill University Library and is preparing the first modules.

Once tested these modules could be available to other libraries at a modest cost. Other topics that are being considered include: communications, first-line supervisory responsibilities, and supervisory problem-solving.

Conclusion

The Office of University Library Management Studies was established by the ARL in 1970 as a collective mechanism for addressing some of the management concerns of research libraries. The Office has been funded principally with three grants from the Council on Library Resources (CLR). During this period the emphasis has been on developing self-help resources for research libraries.

The current CLR grant began in October 1975 and extends to October 1978. During this three-year period the Office will derive an increasing proportion of its operating budget from ARL dues and sales of OMS services and publications. As we prepare for this period, a number of pressing library problems and questions will be considered for intensive study by the Office and its advisory groups. For example, the ARL Management Commission has indicated an interest in issues such as: the role of research libraries; individual and collective responsibilities in cooperative endeavors; the need for better information concerning library costs and performance; and the means for improving the management and analytical skills of library staff. In some instances the treatment of these questions will result in major projects, such as the study of statistical measures of library use or the design of cost analysis models which might be developed as separately-funded activities. In other instances, issues might be dealt with by Office staff or an ARL task force. These activities will reflect Association objectives and include an independent appraisal of quality and usefulness.

It is clear that a combination of factors have contributed to the success of the Association's management effort including: the Council's encouragement, ARL member support, and the usefulness of the products, services, and research results of the Office. The Office depends upon the guidance of the ARL Management Commission comprised of Stanley McElderry, Russell Shank, Richard Dougherty, and Warren Haas (term concluded in August 1975) in the conduct and evaluation of its programs. Since the OMS operates as an integral part of the Association, a close working relationship is maintained with the Executive Office staff. In this last year the Office enjoyed the support and judicious advice of John McDonald, ARL Executive Director.

Office staff appreciate Mr. McDonald's contribution during this critical year when new funding for the Office was secured and program plans developed.

The current staffing level of the Office includes three professionals: the Director; Jeffrey Gardner, Management Research Specialist; Nancy Zeidner, SPEC Coordinator; and two support staff: Denise Cook and Mary Perriello.

As we look to the future, it seems clear that there will be a dynamic and difficult operational setting facing research libraries. Improvement of problem-solving and management skills will require both continued attention by individual libraries and collective activities such as the Office of University Library Management Studies.

Submitted by:	Approved by:
Duane E. Webster Director	John P. McDonald Executive Director
Jeffrey J. Gardner Management Research Specialist	
Nancy I. Zeidner SPEC Coordinator	

Attachment 1: Program Activities of the Office of University Library Management Studies: 1975

Since its establishment in October 1970 the Office has concentrated on these programs: 1) applied research and management development, 2) information collection and dissemination, and 3) organizational training. The program activities of the OMS during 1975 are briefly noted below:

1. THE OFFICE PROGRAM OF APPLIED RESEARCH AND DEVELOPMENT

The OMS research activities are aimed at identifying issues and concerns of research libraries and developing methods which libraries can apply toward the solution of their problems.

a. Management Review and Analysis Program (MRAP)

This assisted self-study designed by the OMS has been applied by 22 research libraries in five different groups since 1972. While the fourth and fifth applications received the most attention by office staff during 1975, follow up assistance on implementation was provided to earlier participants. The status of groups four and five is discussed below:

MRAP Four: This group of seven libraries (UCLA, Kentucky, Indiana, Massachusetts, Toronto, Utah, Penn State) started the program at the end of 1974. During 1975 the Office concentrated considerable resources on the conduct of this application, operating four training sessions each lasting three days. The program schedule was reconstructed with a one-year study period followed by a second year planned for implementation activities. The OMS developed resource folders for use by the nine MRAP task forces and prepared an Implementation Manual which draws on the experiences of past participants. During the year three of the libraries completed their reports; the remaining four are scheduled to finish in early 1976.

MRAP Five: A fifth application of the program began in September 1975 involving one library: Johns Hopkins University. Training sessions are being conducted on-site for the entire study team.

While it is expected that future applications of the program will involve fewer libraries than the past, the Office will maintain the capability to provide the program to member libraries and to provide assistance with implementation efforts of past participants.

b. MRAP Applications

During the year the Office worked toward capitalizing on the MRAP techniques and experience by deriving new programs of value to research libraries. These efforts included: consideration of a management audit technique which would telescope the MRAP into a briefer, less ambitious evaluation activity; outline of a problem analysis program which would apply the investigatory techniques of MRAP to the resolution of non-management concerns, such as policy and attitudes towards collection development; initiation of a services development project which would apply the review and analysis methodology to the improvement of research library public services functions; and assistance provided to the Academic Library Development Program (described below).

c. Academic Library Development Program

The OMS provided assistance in the design of a project aimed at developing and testing a self-administered library improvement program for academic libraries. The project was funded in 1975 by the Council on Library Resources for conduct at the University of North Carolina at Charlotte and began operation in September 1975. Dr. Grady Morein has been appointed Project Coordinator.

d. Northeast Academic Science Information Center (NASIC)

NASIC is an NSF-funded project operated by the New England Board of Higher Education that is experimenting with methods for facilitating the availability and utilization of machine-based bibliographic information services by academic libraries. Office staff have contributed to this project by working on a survey of available services, preparing a paper on the use and economics of these services, and advising project operation via service on an advisory committee. OMS staff participation on the NASIC Advisory Committee will be completed during the first quarter 1976.

e. CLR Fellowship Study on the Use of Managerial and Technical Specialists in Research Libraries

Keith Cottam, a CLR fellow from the University of Tennessee at Knoxville, worked in the office on a study of the use of managerial and technical specialists in research libraries. A SPEC survey on the topic was conducted resulting in a SPEC *Flyer* and *Kit*. Mr. Cottam is now preparing an *ARL Management Supplement* on the topic.

2. THE OFFICE PROGRAM OF INFORMATION COLLECTION AND DISSEMINATION

This program has two major components: (1) capitalizing on OMS research and development activities through the publication of major results and (2) collecting and disseminating information on current library operating practices.

a. Major OMS Publications Developed in 1975

(1) A review of current performance appraisal practices in academic and research libraries was developed by Larry Yarbrough and issued as

ARL Management Supplement, Vol. 3, No. 1. This publication resulted from Mr. Yarbrough's work on a CLR fellowship which involved a study project on performance appraisal conducted with the assistance of OMS staff and resources. An Occasional Paper on this topic is in the final stages of preparation and will suggest guidelines for improving performance appraisal programs.

(2) A paper on "Improving the Performance of Academic and Research Libraries" was prepared for presentation at the International Federation of Library Associations and subsequently was issued as an article in the June 1975 Journal of Academic Librarianship.

(3) A number of publications were developed during the year and it is expected that these will be issued during the next year. These efforts include; an Occasional Paper on performance appraisal, ARL Management Supplements on library instruction and on the use of specialists in academic libraries, an Occasional Paper on budgeting processes, an article describing the uses of SPEC resources in academic libraries, an article describing the development of MRAP to appear in a forthcoming issue of the Journal of Academic Librarianship, a book chapter on performance appraisal, and reviews of current developments in staff development and library management to be published in the ALA 1975 Yearbook.

b. System and Procedures Exchange Center

During the year a full-time staff member, Nancy Zeidner, was employed to operate SPEC information services and to assist in the preparation of SPEC surveys and publications. Four SPEC surveys were conducted in 1975 covering: use of specialists, public services, library instruction, and reclassification of collections. Utilizing the results of these surveys the following nine SPEC Flyers and Kits were developed.

SPEC Flyer Number 15 on goals and objectives with a Kit including examples of goals from all organizational levels and departments, and selections from two staff reports on goals and objectives;

SPEC Flyer Number 16 on collection reclassification with a Kit including procedural descriptions, proposals and rationales for reclassification, flow charts, cost analyses, and a detailed analysis of the survey results;

SPEC Flyer Number 17 on library instruction in academic libraries with a Kit containing descriptions of library instruction committees, job descriptions for library instruction officer, promotional materials, library instruction program descriptions, course syllabi, instructional materials, library instruction evaluation documents, and a detailed analysis of the survey results;

SPEC Flyer 18 on staff development with a Kit including committee and task force reports on staff development, descriptions of library management training programs, training materials and job descriptions for staff development officers;

SPEC Flyer Number 19 on staff associations in academic libraries with a Kit containing by-laws and constitutions of staff associations, illustrative annual reports and association newsletters;

SPEC Flyer Number 20 on managerial and technical specialists in ARL libraries with a Kit which includes special job descriptions and classification schemes;

SPEC Flyer Number 21 on paraprofessionals in ARL libraries with a Kit containing classification schemes, position descriptions, salary scales and career development programs for paraprofessionals;

SPEC Flyer Number 22 on private foundations with a Kit containing documentation supplied by the Foundation Center, including materials about the Center and grantsmanship, a table compiled by SPEC providing data concerning selected foundations, and pertinent sections of annual reports from four private foundations;

SPEC Flyer Number 23 on grievance procedures and termination procedures with a Kit containing grievance procedures and termination policies.

A description of the SPEC operation was prepared and distributed to SPEC liaisons. This paper provides details on how the information is collected and how the Flyer and Kits are developed.

During the year the Center responded to 1920 requests for information, including orders for 1895 SPEC Kits; maintained 95 SPEC subscriptions; provided two ondemand surveys for ARL libraries; prepared two special loan packages; and maintained SPEC files for use by ARL members, SPEC subscribers, and individuals performing library research.

3. OFFICE PROGRAM OF ORGANIZATIONAL TRAINING AND STAFF DEVELOPMENT

Office objectives in this program include: (1) identification of the training needs of research libraries and (2) design of training resources that will assist research libraries in developing staff to meet library performance requirements. As noted in earlier annual reports, office staff and the ARL Management Commission are allocating increased resources to the pursuit of these objectives. The past year's activities illustrate a movement in this direction and include the following efforts:

a. Management Skills Institute

The first ARL Management Skills Institute was conducted on July 16, 17, and 18th in Philadelphia. The purpose of the Institute was to introduce and apply contemporary management concepts and processes to the problems of library supervisors and managers. The major topics covered included development of performance standards for library staff, clarification of administrative/staff roles and responsibilities, strengthening the motivation of library staff, and steps in describing, analyzing, and resolving operational problems. The Institute was fully subscribed with two-thirds of the attendees representing ARL members. The participants prepared evaluations which were analyzed by the Office and a report on these comments was sent to participants and ARL directors as part of an assessment of the Institute. Additional institutes are being planned with one scheduled for July 1976 at the Airlie House in Virginia.

b. Training Project at McGill University Libraries

Office staff worked with the McGill University Libraries' staff in developing an ongoing performance appraisal process based on goals and standards for work units and individual staff. Products on this project included a performance appraisal program and an in-house training program which will be provided to the library's new supervisory staff. OMS staff conducted the training program in a pilot test which emphasized developing supervisor's skills in performance evaluation, goals setting and group leadership. Currently the training program is being operated by McGill staff with some assistance provided by OMS staff. It is expected that revised, generalizable training materials will be made available to other ARL libraries.

c. Training Film Resources Program

This program started last year to make available to participating ARL members a few carefully-selected management films adapted to the needs of research libraries through the preparation by the OMS of discussion and training guides. During the year over 50 films were previewed, the first three films were acquired, and the associated training materials prepared. Films acquired were:

Working with Troubled Employees

The film illustrates two common types of troubled behavior -- the depressed employee and the overly-aggressive and suspicious employee -- and provides guidelines for supervisors in identifying and dealing with staff having serious emotional problems;

Managing in a Crisis

This film illustrates some principles involved in developing effective, constructive team problem-solving;

Styles of Leadership

This film illustrates the advantages and disadvantages of four basic types of leadership: autocratic, democratic, manipulative, and consultative.

The program is available to ARL libraries that are willing to share film acquisition costs. To date 25 libraries have paid $250 each to participate in this program, and the films have been utilized in 20 training programs.

d. Workshops

OMS staff sponsored or participated in several workshops during the year in addition to the previously-mentioned MRAP training sessions and the Management Skills Institute. These workships included: an MRAP regional workshop hosted by the Smithsonian Libraries and attended by 25 people; a management workshop sponsored by the graduate library school at Case Western Reserve and attended by 120; a management institute sponsored by the Medical Library Association and attended by 50; a continuing education workshop at McGill which was attended by 36 staff; and a workshop on performance appraisal sponsored by the Rutgers Graduate School of Library Science and attended by 120 people.

e. Continuing Library Education Network and Exchange (CLENE)

CLENE is a new organization that grew out of a study sponsored by the National Commission on Library and Information Science. The organization intends to coordinate current continuing education efforts and to facilitate experimentation and improvement in the development of new continuing education programs for the library profession. OMS assisted in the initial study and now serves on the CLENE Board of Directors.

Bibliography of
Office of University Library Management Studies
Publications and Documentation in 1975

Association of Research Libraries. Office of University Library Management Studies. "A Descriptive Guide to the Systems and Procedures Exchange Center." Washington, D.C.: Author, 1975. 7 p.

Association of Research Libraries. Office of University Library Management Studies. "Management Review and Analysis Program Task Force Folders." Washington, D.C.: Author, 1975:

- "Budgeting." 12 p.*
- "General Management." 11 p.*
- "Management Information Systems." 27 p.*
- "Organization." 12 p.*
- "Personnel." 23 p.*
- "Planning." 5 p.*
- "Policies." 10 p.*
- "Supervision and Leadership." 18 p.*

Association of Research Libraries. Office of University Library Management Studies. "Selected Publications from the Office of University Library Management Studies." Washington, D.C.: Author, 1975. 2 p.

Association of Research Libraries. Office of University Library Management Studies. SPEC Kits and Flyers Nos. 15-23. Washington, D.C.: Author, 1975.

- "Goals and Objectives." No. 15. January, 1975. 128 p.
- "Reclassification Projects." No. 16. March, 1975. 135 p.
- "Library Use Instruction." No. 17. April, 1975. 150 p.
- "Staff Development." No. 18. May, 1975. 148 p.
- "Staff Associations." No. 19. July, 1975. 106 p.
- "Managerial and Technical Specialists in ARL Libraries." No. 20. September, 1975. 83 p.
- "Paraprofessionals." No. 21. October, 1975. 116 p.
- "Private Foundations." No. 22. November, 1975. 110 p.
- "Grievance Procedures and Termination Procedures." No. 23. December, 1975. 63 p.

Association of Research Libraries. Office of University Library Management Studies. Training Modules on: Unit Goal Setting; Individual Goal Setting; Group Leadership; Performance Evaluation. Washington, D. C.: Author, 1975.*

Association of Research Libraries. Office of University Library Management Studies, and McGill University Libraries. McGill University Library System's Performance Evaluation System: Staff Manual. Washington, D.C.: Author, 1975. 36 p.*

---

* Not available for general distribution. Contact Office of University Library Management Studies for additional information.

Webster, Duane E. and Gardner, Jeffrey. "Strategies for Improving the Performance of Academic Libraries." The Journal of Academic Librarianship 1 (May, 1975): pp. 13-18.

Webster, Duane E. and Gardner, Jeffery J. "Evaluation of ARL Management Skills Institute Held in Philadelphia on July 16, 17, and 18, 1975." Washington, D.C.: Association of Research Libraries. Office of University Library Management Studies, September, 1975. 4 p.

Webster, Duane E. and Gardner, Jeffery J. "OMS Implementation Manual: A Structure for Implementation of Study Recommendations." Washington, D.C.: Association of Research Libraries. Office of University Library Management Studies, August 1975. 39 p.*

Yarbrough, Larry W. "Performance Appraisal in Academic and Research Libraries." ARL Management Supplement 3 (May, 1975): 6 p.

APPENDIX M

ATTENDANCE AT 87th MEETING

University of Alabama Libraries
James F. Wyatt

University of Arizona Library
W. David Laird

Arizona State University Library
Donald Koepp

Boston Public Library
Philip J. McNiff

Boston University Library
John Laucus

Brigham Young University
Douglas P. Bush

University of British Columbia Library
Basil Stuart-Stubbs

University of California Library
(Berkeley) Joseph A. Rosenthal

University of California Library
(Davis) Bernard Kreissman

University of California Library
(Los Angeles) Page Ackerman

University of California Library
(San Diego) Melvin Voigt

University of California Library
(Santa Barbara) Donald Ralston

Case Western Reserve University Libraries
James V. Jones

Center for Research Libraries
Gordon R. Williams

University of Chicago Library
Stanley McElderry

University of Cincinnati Libraries
Harold Schell

University of Colorado Library
Ellsworth Mason

Colorado State University Library
Le Moyne W. Anderson

Columbia University Libraries
Warren J. Haas

University of Connecticut Libraries
Norman Stevens

Cornell University Libraries
J. Gormly Miller

Dartmouth College Libraries
Edward C. Lathem

Duke University Libraries
Connie Dunlap

Emory University Library
Don L. Bosseau

University of Florida Libraries
Gustave A. Harrer

Florida State University Library
Charles E. Miller

Georgetown University Library
Joseph E. Jeffs

University of Georgia Libraries
Warren N. Boes

Harvard University Library
Douglas W. Bryant

University of Houston Libraries
Stephen R. Salmon

Howard University Libraries
Binford Conley

University of Illinois Library
Robert Oram

Iowa State University Library
Warren Kuhn

John Crerar Library
William S. Budington

Johns Hopkins University Library
David H. Stam

Joint University Libraries
Frank Grisham

University of Kentucky Libraries
Mary R. Brown

Kent State University Libraries
Hyman W. Kritzer

Library of Congress
John Lorenz

Linda Hall Library
Thomas D. Gillies

Louisiana State University Library
George Guidry, Jr.

McGill University Library
Marianne Scott

University of Maryland Library
H. Joanne Harrar

University of Massachusetts Libraries
Richard J. Talbot

Massachusetts Inst. of Technology Libraries
Jay Lucker

University of Michigan Library
Robin Downs

Michigan State University Library
Henry Koch

University of Minnesota Libraries
Ralph H. Hopp

National Agricultural Library
Richard A. Farley

National Library of Canada
Joseph Guy Sylvestre

University of Nebraska Libraries
Kathryn Lundy

New York Public Library
James Henderson

New York State Library
John A. Humphry

New York University Libraries
Eugene Kennedy

University of North Carolina Libraries
James F. Govan

Northwestern University Libraries
Karen Horny

University of Notre Dame Libraries
David E. Sparks

Ohio State University Libraries
Hugh Atkinson

University of Oklahoma Library
James K. Zink

Oklahoma State University Library
Rosco Rouse

University of Oregon Library
H. William Axford

University of Pennsylvania Libraries
Richard De Gennaro

Pennsylvania State University Library
Stuart Forth

University of Pittsburgh Libraries
Florence McKenna

Princeton University Library
Richard Boss

Purdue University Library
Joseph M. Dagnese

Rice University Library
Richard O'Keeffe

University of Rochester Libraries
Ben C. Bowman

Rutgers University Library
Virginia P. Whitney

Smithsonian Institution Libraries
Russell Shank

University of South Carolina Libraries
Kenneth E. Toombs

Southern Illinois University Libraries
Ralph E. McCoy

Stanford University Libraries
David C. Weber

State University of New York at Albany
C. James Schmidt

State University of New York at Buffalo
Eldred Smith

State University of New York at Stony Brook
John B. Smith

Syracuse University Libraries
Donald C. Anthony

Temple University Library
Arthur T. Hamlin

University of Tennessee Libraries
Gene M. Abel

Texas A & M University Library
Irene B. Hoadley

University of Toronto Libraries
Robert Blackburn

Tulane University Library
John H. Gribbin

University of Utah Libraries
Roger Hanson

University of Virginia Libraries
Ray Frantz, Jr.

University of Washington Library
Kenneth S. Allen

Washington State University Library
G. Donald Smith

Washington University Libraries
William Kurth

Wayne State University Libraries
Vern M. Pings

University of Wisconsin Libraries
Joseph H. Treyz

Yale University Libraries
Rutherford Rogers

Members Not Represented:

University of Alberta Library
Brown University Library
Indiana University Libraries
University of Iowa Libraries
University of Missouri Library
University of Kansas Library
National Library of Medicine
University of Southern California Library
University of Texas Libraries

Guests

Henriette D. Avram, Library of Congress
Linda Beaupre, Council on Library Resources Intern - Pennsylvania
Daniel Boorstin, Library of Congress
Ruth F. Boorstin
Thomas Buckman, The Foundation Center
Fred Cole, Council on Library Resources
William Dix, Council on Library Resources
Robert R. France, Rochester University
Herman Fussler, University of Chicago, Library School
George Grant, Council on Library Resources Intern - Yale
Dick Hays, Office of Education, Office of Library and Learning Resources
Elizabeth Kegan, Library of Congress
Ruth Kirk, University of Washington
Robert Koester, Council on Library Resources Intern - Columbia
Lawrence G. Livingston, Council on Library Resources
Anthony Loveday, Standing Conference of National & University Libraries
Beverly Lynch, Association of College & Research Libraries
Stephen A. McCarthy, Council on Library Resources
Keyes D. Metcalf
Lee Putnam, Council on Library Resources Intern - Rutgers
John C. Rather, Library of Congress
Lucia Rather, Library of Congress
Simone Reagor, National Endowment for the Humanities
James P. Riley, Federal Library Committee
James Skipper, Research Libraries Group
Carl Spaulding, Council on Library Resources
Richard H. Sullivan, Carnegie Corporation of New York
Alphonse Trezza, National Commission on Libraries & Information Science
Edward C. Weiss, National Science Foundation- Office of Science Information Service
William Welsh, Library of Congress

ARL Staff:

John P. McDonald, Executive Director
Suzanne Frankie, Assistant Executive Director
Duane E. Webster, Director, Office of University Library Management Studies
Jeffrey Gardner, Management Research Specialist
P.K. Yu, Director, Center for Chinese Research Materials

APPENDIX N

OFFICERS, BOARD OF DIRECTORS, COMMISSIONS, COMMITTEES AND TASK FORCES OF THE ARL

ARL Officers and Board for 1975

Richard De Gennaro, President
Virginia P. Whitney, Vice President & President-elect
Ralph H. Hopp, Past President
Page Ackerman (Oct. 1976)
Richard Boss (Oct. 1977)
Gustave A. Harrer (Oct. 1976)
Edward C. Lathem (Oct. 1977)
Stanley McElderry (Oct. 1975)
Russell Shank (Oct. 1977)

ARL COMMISSIONS*

1. Commission on Development of Resources

Page Ackerman (Oct. 1977)
Basil Stuart-Stubbs (Oct. 1975)
Gustave Harrer, Chairman (Oct. 1976)

2. Commission on Organization of Resources

Joseph Dagnese, (Oct. 1977)
John McGowan, (Oct. 1976)
Edward C. Lathem, Chairman (Oct. 1977)

3. Commission Access to Resources

Hugh Atkinson, (Oct. 1977)
Richard Boss, Chairman (Oct. 1976)

4. Commission on Management of Research Libraries

Richard Dougherty, (Oct. 1977)
Warren Haas (Oct. 1975)
Russell Shank, (Oct. 1977)
Stanley McElderry, Chairman (Oct. 1977)

5. ARL Executive Committee

Ralph H. Hopp, Past President
John McDonald, Executive Director
Virginia P. Whitney, Vice President & President-elect
Richard De Gennaro, President, Chairman

*The Commission on External Affairs was temporarily suspended in February 1975.

ARL STANDING COMMITTEES

Committee on Access to Manuscripts and Rare Books

William Bond
William Cagle
John Finzi
Ray Frantz, Jr., Chairman

Committee on Center for Chinese Research Materials

Roy Hofheinz, Jr.
Ying-mao Kau
David T. Roy
Eugene Wu
Philip McNiff, Chairman

Committee on Federal Relations

Warren N. Boes
Richard Couper
Joseph Jeffs
Philip McNiff
Paul Willis
Eugene Kennedy, Chairman

Committee on Foreign Newspapers on Microfilm

Gustave Harrer
Bruce Peel
Gordon Williams
John Lorenz, Chairman

Committee on Interlibrary Loan

Richard Chapin
Ruth Kirk
John Humphry
Jay Lucker
David Weber, Chairman

National Program for Acquisitions and Cataloging Liaison Committee

Philip McNiff
Howard Sullivan
Joseph H. Treyz, Jr.
Frederick Wagman, Chairman

Committee on Negro Academic Libraries

Arthur Hamlin
Warren Boes, Chairman

Committee on Nominations

ARL Vice President, Chairman

Committee on Preservation of Research Library Materials

(To be reconstituted)

ARL SUBCOMMITTEES

Subcommittee to Review the Criteria for Membership in ARL

Gustave A. Harrer
Stanley McElderry
Page Ackerman, Chairman

ARL COMMITTEES ON FOREIGN ACQUISITIONS

Africa

Peter Duignan, Hoover Institution on War, Peace and Revolution
Beverly Gray, Boston University
Conrad Reining, Georgetown University
Julian Witherell, Library of Congress
Hans Panofsky, Northwestern University, Chairman

Middle East

George N. Atiyeh, Library of Congress
James Pollack, University of Indiana
David H. Partington, Harvard University, Chairman

Eastern Europe

Joseph A. Placek, University of Michigan
Paul Horecky, Library of Congress
Marion Milczewski, University of Washington, Chairman

East Asia

Weying Wan, University of Michigan
Eugene Wu, Harvard University
Warren Tsuneishi, Library of Congress, Chairman

South Asia

Richard De Gennaro, University of Pennsylvania
Paul Fasana, New York Public Library
Maureen Patterson, University of Chicago
Louis A. Jacob, Library of Congress, Chairman

Southeast Asia

Charles Bryant, Yale University
John Musgrave, University of Michigan

Latin America

Nettie Lee Benson, University of Texas
Donald Wisdom, Library of Congress
Carl W. Deal, University of Illinois, Chairman

Western Europe

Norman Dudley, University of California, Los Angeles
Ten-Tsai Feng, Boston Public Library
William H. Kurth, Washington University, St. Louis
Howard Sullivan, Wayne State University, Chairman

ARL TASK FORCES

Task Force on Future of the Card Catalog

Hugh Atkinson
Richard De Gennaro
William Welsh
Joseph Rosenthal, Chairman

Task Force on National Periodical Resources Plan

Joseph Jeffs
Gordon Williams
Arthur Hamlin, Chairman

Task Force on Criteria for Nonuniversity Membership in ARL

Ben Bowman
John Gribbin
Philip McNiff
William Budington, Chairman

Task Force on NEH Research Tools Program

Richard Dougherty
James Henderson
Hyman W. Kritzer
David Laird
David Sparks
Ellsworth Mason, Chairman

Task Force to Study the ARL Commission Structure

Ray Frantz, Jr.
W. David Laird
Stanley McElderry
Basil Stuart-Stubbs
Ralph H. Hopp, Chairman

APPENDIX O

MEMBERSHIP OF ASSOCIATION OF RESEARCH LIBRARIES

October 1975

University of Alabama Libraries
P.O. Box S
University, Alabama 35486
James F. Wyatt, Dean of Libraries
(205) 348-5298

University of Alberta Library
Edmonton, Alberta, Canada T6G 2E2
Bruce Peel, Director
(403) 432-3790

University of Arizona Library
Tucson, Arizona 85721
W. David Laird, Librarian
(602) 884-2101

Arizona State University Library
Tempe, Arizona 85281
Donald Koepp, Librarian
(602) 965-3415

Boston Public Library
Boston, Massachusetts 02215
Philip J. McNiff, Librarian
(617) 536-5400

Boston University Library
Boston, Massachusetts 02215
John Laucus, Director
(617) 353-3710

Brigham Young University
324 Lee Library
Provo, Utah 84602
Donald K. Nelson, Director
(801) 375-1211 Ext. 2905

University of British Columbia Library
Vancouver, B.C., Canada V6T 1W5
Basil Stuart-Stubbs, Librarian
(604) 228-2298

Brown University Library
Providence, Rhode Island 02912
Charles Churchwell, Librarian
(401) 863-2162

University of California Library
Berkeley, California 94720
Richard Dougherty, Librarian
(415) 642-3773

University of California Library
Davis, California 95616
Bernard Kreissman, Librarian
(916) 752-2110 Ext. 2167

University of California Library
Los Angeles, California 90024
Page Ackerman, Librarian
(213) 825-1201

University of California Library, San Diego
La Jolla, California 92037
Melvin J. Voigt, Librarian
(714) 452-3061

University of California Library
Santa Barbara, California 93106
Donald Davidson, Librarian
(805) 961-3256

Case Western Reserve University Libraries
Cleveland, Ohio 44106
James V. Jones, Director
(216) 368-2990

Center for Research Libraries
5721 Cottage Grove Avenue
Chicago, Illinois 60637
Gordon R. Williams, Director
(312) 955-4545

University of Chicago Library
Chicago, Illinois 60637
Stanley McElderry, Director
(312) 753-2933

University of Cincinnati Libraries
Cincinnati, Ohio 45221
Harold Schell, Dean, Library Admin. &
Director of Librs. (513) 475-2533

University of Colorado Library
Boulder, Colorado 80304
Ellsworth Mason, Director
(303) 492-7511

Colorado State University Library
Fort Collins, Colorado 80521
Le Moyne W. Anderson, Director
(303) 491-5911

Columbia University Libraries
New York, New York 10027
Warren J. Haas, Vice President & Libn.
(212) 280-2247

University of Connecticut Library
Storrs, Connecticut 06268
Norman D. Stevens, Acting Director
(203) 486-2219

Cornell University Libraries
Ithaca, New York 14850
J. Gormly Miller, Director
(607) 256-3689

Dartmouth College Libraries
Hanover, New Hampshire 03755
Edward C. Lathem, Librarian
(603) 646-2236

Duke University Libraries
Durham, North Carolina 27706
Connie R. Dunlap, Librarian
(919) 684-2034

Emory University Library
Atlanta, Georgia 30322
Don L. Bosseau, Director
(404) 377-2411 Ext. 7691

University of Florida Libraries
Gainesville, Florida 32603
Gustave A. Harrer, Director
(904) 392-0341

Florida State University Library
Tallahassee, Florida 32306
Charles Miller, Director
(904) 644-5211

Georgetown University Library
Washington, D. C. 20057
Joseph E. Jeffs, Director
(202) 625-4095

University of Georgia Libraries
Athens, Georgia 30601
Warren N. Boes, Director
(404) 524-2716

Harvard University Library
Cambridge, Massachusetts 02138
Douglas W. Bryant, Director
(617) 495-2404

University of Houston Libraries
Houston, Texas 77004
Stephen R. Salmon, Director
(713) 749-2340

Howard University Libraries
Washington, D. C. 50059
Binford H. Conley, Director
(202) 636-7234

University of Illinois Library
Urbana, Illinois 61803
Robert Oram, Associate Librarian
(217) 333-0790

Indiana University Libraries
Bloomington, Indiana 47405
W. Carl Jackson, Dean of Libraries
(812) 337-3404

University of Iowa Libraries
Iowa City, Iowa 52240
Leslie W. Dunlap, Dean of Library
Admin. (319) 353-4450

Iowa State University Library
Ames, Iowa 50010
Warren Kuhn, Dean of Library Services
(515) 294-1442

John Crerar Library
Chicago, Illinois 60616
William S. Budington, Director
(312) 225-2526

Johns Hopkins University
Milton S. Eisenhower Library
Baltimore, Maryland 21218
David Stam, Librarian
(301) 366-3300 Ext. 437 or 562

Joint University Libraries
Nashville, Tennessee 37203
Frank P. Grisham, Director
(615) 322-2834

University of Kansas Library
Lawrence, Kansas 66044
James Ranz, Dean of Libraries
(913) 864-3601

University of Kentucky Libraries
Lexington, Kentucky 40506
Paul Willis, Director
(606) 257-3801

Kent State University Libraries
Kent, Ohio 44242
Hyman W. Kritzer, Assistant Provost &
Director of Libraries (216) 672-2962

Library of Congress
Washington, D. C. 20540
John G. Lorenz, Acting Librarian
(202) 426-5205

Linda Hall Library
Kansas City, Missouri 64110
Thomas D. Gillies, Director
(816) 363-4600

Louisiana State University Library
Baton Rouge, Louisiana 70803
George Guidry, Jr., Director
(504) 388-3969

McGill University Library
Montreal, P.Q., Canada H3C 3G1
Marianne Scott, Director
(514) 392-4949

University of Maryland Library
College Park, Maryland 20742
H. Joanne Harrar, Librarian
(301) 454-3011

University of Massachusetts Libraries
Amherst, Massachusetts 01002
Richard J. Talbot, Director
(413) 545-0284

Massachusetts Inst. of Technology
Libraries
Cambridge, Massachusetts 02139
Jay Lucker, Director
(617) 253-5651

University of Michigan Library
Ann Arbor, Michigan 48104
Frederick H. Wagman, Director
(313) 764-9356

Michigan State University Library
East Lansing, Michigan 48823
Richard Chapin, Librarian
(517) 355-2341

University of Minnesota Libraries
Minneapolis, Minnesota 55455
Ralph H. Hopp, Director
(612) 373-3097

University of Missouri Library
Columbia, Missouri 65201
Dwight Tuckwood, Director
(314) 882-2739

National Agricultural Library
Beltsville, Maryland 20705
Richard A. Farley, Director
(301) 344-3779

National Library of Canada
395 Wellington Street
Ottawa, Ontario, Canada K1A 0N4
Joseph Guy Sylvestre, Librarian
(613) 992-0401

National Library of Medicine
Bethesda, Maryland 20014
Martin M. Cummings, Director
(301) 496-6221

University of Nebraska Libraries
Lincoln, Nebraska 68508
Gerald A. Rudolph, Dean of Libraries
(402) 472-7211

New York Public Library
New York, New York 10018
Richard W. Couper, President
(212) 695-3231

New York State Library
State Education Department
Albany, New York 12224
John A. Humphry, Asst. Commissioner for
Libraries (518) 474-5930

New York University Libraries
New York, New York 10003
Julius Marke, Acting Director
(212) 598-2140

University of North Carolina Libraries
Chapell Hill, North Carolina 27515
James F. Govan, Director
(919) 933-1301

Northwestern University Libraries
Evanston, Illinois 60210
James P. McGowan,.Librarian
(312) 492-7640

University of Notre Dame Libraries
Notre Dame, Indiana 46556
David E. Sparks, Director
(219) 283-7317

Ohio State University Libraries
Columbus, Ohio 43210
Hugh Atkinson, Director
(614) 422-6152

University of Oklahoma Library
Norman, Oklahoma 73069
James K. Zink, Director
(405) 325-2611 or 2614

Oklahoma State University Library
Stillwater, Oklahoma 74075
Roscoe Rouse, Librarian
(405) 372-6211 Ext. 237

University of Oregon Library
Eugene, Oregon 97403
H. William Axford, University
Librarian (503) 686-3056

University of Pennsylvania Libraries
Philadelphia, Pennsylvania 16802
Richard De Gennaro, Director
(215) 243-7091

Pennsylvania State University Library
University Park, Pennsylvania 16802
Stuart Forth, Dean of Univ. Libraries
(814) 865-0401

University of Pittsburgh Libraries
Pittsburgh, Pennsylvania 15260
Glenora Edwards Rossell, Director
(412) 624-4401

Princeton University Library
Princeton, New Jersey 08540
Richard Boss, Librarian
(609) 452-3190

Purdue University Library
Lafayett, Indiana 47907
Joseph M. Dagnese, Director
(317) 749-2571

Rice University Library
6100 S. Main
Box 1892
Houston, Texas 77001
Richard L. O'Keeffe, Librarian
(713) 528-4141 Ext. 312

University of Rochester Libraries
Rochester, New York 14627
Ben Bowman, Director
(716) 275-4463

Rutgers University Library
New Brunswick, New Jersey 08901
Virginia P. Whitney, Librarian
(201) 932-7505

Smithsonian Institution Libraries
Constitution Avenue at Tenth St., N.W.
Washington, D. C. 20560
Russell Shank, Director
(202) 381-5496

University of South Carolina Libraries
Columbia, South Carolina 29208
Kenneth E. Toombs, Director
(803) 777-3142

University of Southern California Library
Los Angeles, California 90007
Roy L. Kidman, Librarian
(213) 746-2543

Southern Illinois University Library
Carbondale, Illinois 62901
Ralph E. McCoy, Director
(618) 453-2522

Stanford University Libraries
Stanford, California 94305
David C. Weber, Director
(415) 497-2016

State University of New York at Albany
1400 Washington Avenue
Albany, New York 12222
C. James Schmidt, Director
(518) 457-8540

State University of New York at Buffalo Libraries
Buffalo, New York 14214
Eldred Smith, Director
(716) 831-4205

State University of New York at Stony Brook
Stony Brook, New York 11790
John B. Smith, Director & Dean of Library (516) 246-5650

Syracuse University Libraries
Syracuse, New York 13210
Donald Anthony, Director
(315) 423-2574

Temple University Library
Philadelphia, Pennsylvania 19122
Arthur Hamlin, Director
(215) 787-8231

University of Tennessee Libraries
Knoxville, Tennessee 37916
Gene M. Abel, Acting Director
(615) 974-4127

University of Texas Libraries
Austin, Texas 78712
Merle N. Boylan, Director
(512) 471-3561

Texas A & M University Library
College Station, Texas 77843
Irene B. Hoadley, Director
(713) 845-6111

University of Toronto Libraries
Toronto, Ontario, Canada M5S 1A5
Robert Blackburn, Director
(416) 928-2292

Tulane University Library
New Orleans, Louisiana 70118
John H. Gribbin, Director
(504) 865-5131

University of Utah Libraries
Salt Lake City, Utah 84112
Roger Hanson, Director
(801) 581-8558

University of Virginia Libraries
Charlottesville, Virginia 22903
Ray Frantz, Jr., Librarian
(804) 924-3026

University of Washington Library
Seattle, Washington 98105
Marion A. Milczewski, Director
(206) 543-1760

Washington State University Library
Pullman, Washington 99163
G. Donald Smith, Director
(509) 335-4557

Washington University Libraries
St. Louis, Missouri 63130
William Kurth, Librarian
(314) 863-0100 Ext. 4523

Wayne State University Libraries
Detroit, Michigan 48202
Vern M. Pings, Director
(313) 577-4020

University of Wisconsin Libraries
Madison, Wisconsin 53706
Joseph H. Treyz, Jr., Director
(608) 262-3521

Yale University Libraries
New Haven, Connecticut 06520
Rutherford D. Rogers, Librarian
(203) 436-2456

Minutes of the meetings of the Association of Research Libraries are published semiannually. Subscription rates for U.S.A. and possessions are $10.00 a year; $5.00 an issue (foreign: $[illegible] a year; $6.20 an issue). Checks should be made payable to the Association of Research Libraries, 1527 New Hampshire Avenue, N. W., Washington, D. C. 20036.

Association of Research Libraries.
Minutes of the meeting. 1st-
Dec. 1932-
[Princeton, N. J., etc.]

v. 28 cm.

Meetings are numbered irregularly: 9th-10th, 12th called respectively: 10th-11th, 13th.
Indexes:
Subject index.

1st-42d, Dec. 1932-Jan. 1954. 1 v.

Z673.A84 50-30046

Library of Congress [3]

These Minutes are printed on a stable and enduring paper.